

GOVERNOR'S OFFICE

HTTP://WWW.STATE.CT.US/GOVERNOR/

AGENCY DESCRIPTION:

The Governor is an elected constitutional officer whose responsibilities include: Executive direction and supervision of the general administration of the state; Appointment of commissioners of departments, members of boards and commissions, trustees, and other

officials; Presentation of the budget recommendations to the General Assembly; Approval or veto of legislation passed by the General Assembly.

RECOMMENDED SIGNIFICANT CHANGES

<i>Reductions to Current Services</i>	<u>2001-2002</u>	<u>2002-2003</u>
• Reduce Agency Personal Services	-22,086	-22,529
• Transfer Equipment to CEPF	-16,700	-12,900
• Reduce Inflation and Other Miscellaneous Reductions	-10,558	-17,760
• Make Additional Personal Services Reductions to Effect Economies	-306,756	-449,652

AGENCY PROGRAMS:

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	33	3	0	36	36	36	36	36
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Federal Contributions			13	13	5	5	5	5
			1	0	0	0	0	0
<i>Agency Programs by Total Funds (Net of Reimbursements)</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Direction and Supervision of the State	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223
TOTAL Agency Programs - All Funds Gross	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223
<i>Summary of Funding</i>								
General Fund Net	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223
TOTAL Agency Programs - All Funds Net	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223

PROGRAM: OVERALL DIRECTION AND SUPERVISION OF THE STATE

Statutory Reference:

C.G.S. Section 3-1

Statement of Need and Program Objectives:

To direct and supervise the operation of state government.

Program Description:

The Governor is responsible for the executive direction and supervision of the general administration of the state.

The office provides staff assistance and liaison in all areas of state government administration and direct agency programs and policies.

The cornerstone on which the Governor sets the fiscal policies is the submission of the budget recommendations to the General Assembly.

In odd-numbered years, the Governor makes operating and capital budget recommendations for the biennium and in even-numbered years, recommends adjustments to the biennial budget as necessary.

The Governor appoints commissioners to state agencies and appoints members of boards and commissions, trustees, and other officials.

The Governor also has the power to approve, or veto, legislation passed by the General Assembly, including the authority to veto appropriation line items. A two-thirds vote by each house of the General Assembly is required to override any veto.

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	33	3	0	36	36	36	36	36
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Federal Contributions			13	13	5	5	5	5
			1	0	0	0	0	0
<i>Financial Summary (Net of Reimbursements)</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,083,167	2,270,059	2,466,961	2,584,448	2,255,606	2,653,743	2,772,541	2,300,360

Budget-in-Detail

Other Expenses	290,660	293,292	300,037	300,037	289,479	307,239	307,239	289,479
<i>Capital Outlay</i>								
Equipment	100	100	16,800	16,800	100	13,000	13,000	100
<i>Other Current Expenses</i>								
Expenses of the Governor-Elect	0	0	0	0	0	0	25,000	0
Expenses of Former Governor	0	0	0	0	0	0	10,000	0
<i>Pmts to Other Than Local Governments</i>								
New England Governors' Conference	121,682	120,200	127,766	134,154	134,154	134,154	140,862	140,862
National Governors' Association	91,078	92,900	97,545	97,545	97,545	102,422	102,422	102,422
TOTAL-General Fund	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223

Direction and Supervision of the State

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	2,001,333	2,250,059	2,438,961	2,217,606	2,618,743	2,260,360
Other Positions	56,439	10,000	15,000	25,000	20,000	25,000
Other	25,395	10,000	13,000	13,000	15,000	15,000
TOTAL-Personal Services Gross	2,083,167	2,270,059	2,466,961	2,255,606	2,653,743	2,300,360
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	2,083,167	2,270,059	2,466,961	2,255,606	2,653,743	2,300,360
<i>Other Expenses-Contractual Services</i>						
Advertising	55	55	56	55	57	55
Printing And Binding	1,956	1,974	2,019	1,974	2,067	1,974
Dues And Subscriptions	1,999	2,017	2,063	2,017	2,113	2,017
Rents, Storage & Leasing	75,124	76,501	78,260	76,501	80,138	76,501
Telecommunication Services	57,427	58,242	59,582	58,242	61,012	58,242
General Repairs	3,026	3,051	3,121	3,051	3,196	3,051
Motor Vehicle Expenses	16,223	16,693	17,077	16,693	17,487	16,693
Fees For Non-Professional Services	8,704	8,782	8,984	8,782	9,200	8,782
DP Services, Rentals and Maintenance	54,275	55,164	56,432	51,351	57,787	51,351
Postage	8,823	8,901	9,106	8,901	9,325	8,901
Travel	18,937	18,603	19,031	18,603	19,488	18,603
Other Contractual Services	5,730	5,781	5,914	5,781	6,056	5,781
<i>Other Expenses-Commodities</i>						
Agricultural, Horticultural, And Dairy	2,803	2,828	2,893	2,828	2,962	2,828
Books	391	394	403	394	413	394
Maintenance and Motor Vehicle Supplies	2,870	2,896	2,963	2,896	3,034	2,896
Office Supplies	23,362	22,375	22,890	22,375	23,439	22,375
Miscellaneous Commodities	1,378	1,390	1,422	1,390	1,456	1,390
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	7,577	7,645	7,821	7,645	8,009	7,645
TOTAL-Other Expenses Gross	290,660	293,292	300,037	289,479	307,239	289,479
Less Reimbursements						
TOTAL-Other Expenses Net	290,660	293,292	300,037	289,479	307,239	289,479
<i>Pmts to Other Than Local Govts</i>						
New England Governors' Conference	121,682	120,200	127,766	134,154	134,154	140,862
National Governors' Association	91,078	92,900	97,545	97,545	102,422	102,422
TOTAL-Pmts to Other Than Local Govts	212,760	213,100	225,311	231,699	236,576	243,284

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	2,083,167	2,270,059	2,466,961	2,584,448	2,255,606	2,653,743	2,772,541	2,300,360
Other Expenses Net	290,660	293,292	300,037	300,037	289,479	307,239	307,239	289,479
Capital Outlay	100	100	16,800	16,800	100	13,000	13,000	100
Other Current Expenses	0	0	0	0	0	0	35,000	0
Pmts to Other Than Local Governments	212,760	213,100	225,311	231,699	231,699	236,576	243,284	243,284
TOTAL-General Fund Net	2,586,687	2,776,551	3,009,109	3,132,984	2,776,884	3,210,558	3,371,064	2,833,223

SECRETARY OF THE STATE

[HTTP://WWW.SOTS.STATE.CT.US/](http://www.sots.state.ct.us/)

AGENCY DESCRIPTION:

The Secretary of the State is an elected constitutional officer who is the repository and resource for a variety of public records and documents including legislative, corporations, uniform commercial code, and elections.

The Secretary is the keeper of the Great Seal of the State, and the Commissioner of Elections.

The Secretary grants commissions to notaries public, publishes the *State Register and Manual* (Blue Book) and licenses and regulates

certified public accountants and public accountants. The Secretary oversees compliance with the federal "Motor Voter" law and promotes other voter registration efforts in both the public and private sectors.

The Office also coordinates a number of programs designed to enhance citizen participation and involvement in schools and the community such as Youth Vote, Excellence in Citizenship Awards, and the Report and Conference on the State of Democracy in Connecticut.

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RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

Within Current Services

- Annualize Centralized Voter Registration System
Reflects the increased number of towns using the system.

	2001-2002	2002-2003
	-46,449	-85,223
	-99,000	-94,500
	-33,092	-80,308
	429,738	429,738

AGENCY PROGRAMS:

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions								
General Fund	47	2	0	49	52	49	52	49
Private Contributions	49	9	0	58	58	58	58	58

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Other Positions Equated to Full Time						
General Fund	2	1	3	3	2	2

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management and Support Services	2,259,101	2,725,233	3,942,897	3,546,817	3,420,494	4,020,940	3,798,511	3,639,494
Commercial Recording	3,347,081	4,422,170	3,217,980	3,217,980	3,217,980	3,137,862	3,137,862	3,137,862
Elections/Campaign Financing	1,477,083	1,264,484	1,469,288	1,386,556	1,369,805	1,536,265	1,452,455	1,414,436
Records and Legislative Services	727,039	727,736	776,214	775,099	767,147	818,332	812,191	795,775
Regulation of Licensed Accountants	308,390	317,692	381,636	354,822	352,634	405,362	372,785	368,087
TOTAL Agency Programs - All Funds Gross	8,118,694	9,457,315	9,788,015	9,281,274	9,128,060	9,918,761	9,573,804	9,355,654
Less Turnover								
Less General Personal Services Reduction	0	0	0	0	-25,327	0	0	-41,881
TOTAL Agency Programs - All Funds Net	8,118,694	9,457,315	9,788,015	9,281,274	9,102,733	9,918,761	9,573,804	9,313,773
<i>Summary of Funding</i>								
General Fund Net	3,720,255	3,943,668	5,288,015	4,781,274	4,602,733	5,418,761	5,073,804	4,813,773
Private Contributions	4,398,439	5,513,647	4,500,000	4,500,000	4,500,000	4,500,000	4,500,000	4,500,000
TOTAL Agency Programs - All Funds Net	8,118,694	9,457,315	9,788,015	9,281,274	9,102,733	9,918,761	9,573,804	9,313,773

PROGRAM: MANAGEMENT AND SUPPORT SERVICES

Statutory Reference:

C.G.S. Chapter 33; Article Third and Fourth State Constitution

Statement of Need and Program Objectives:

To support the Secretary of the State in the organization, direction, and control of all office operations through the promotion of effective and efficient delivery of office fiscal, personnel, procurement, and computerized information systems.

Program Description:

The Office of the Secretary of the State establishes policies and regulations, and provides for the overall coordination and management of the office by performing budget, personnel, affirmative action, payroll, accounting, training, publication distribution/sales, public service, communication with the public, office intern and volunteer programs, statewide planning and revenue deposit functions.

Budget-in-Detail

The office also procures, replenishes, and distributes supplies, equipment and services; maintains equipment inventory; and copies in-house.

applications, projects, local and wide area networks, and E-government initiatives.

A new department of Information Technology has been created within the agency. Its goals are to provide service and support for all

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Days to process vendor payment	2	2	2	2
General Statutes distributed and/or sold	450	5,000	500	5,000
Public & Special Acts distributed and/or sold	3,000	1,000	3,000	1,000
Revenue deposited/yr (\$M)	18.7	18.8	17.5	17.8

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	21	1	0	22	23	22	23	22
Private Contributions	9	1	0	10	10	10	10	10

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	2	1	2	2	1	1

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	848,478	1,060,350	1,204,747	1,162,988	1,153,272	1,353,424	1,311,358	1,291,421
Other Expenses	439,624	678,553	1,268,220	1,125,899	1,108,292	1,307,534	1,161,671	1,117,091
<i>Capital Outlay</i>								
Equipment	0	100	312,000	100,000	1,000	130,000	95,500	1,000
<i>Other Current Expenses</i>								
Year 2000 Conversion	24,989	0	0	0	0	0	0	0
TOTAL-General Fund	1,313,091	1,739,003	2,784,967	2,388,887	2,262,564	2,790,958	2,568,529	2,409,512
<i>Additional Funds Available</i>								
Private Contributions	946,010	986,230	1,157,930	1,157,930	1,157,930	1,229,982	1,229,982	1,229,982
TOTAL-All Funds	2,259,101	2,725,233	3,942,897	3,546,817	3,420,494	4,020,940	3,798,511	3,639,494

Management and Support Services

PROGRAM: COMMERCIAL RECORDING

Statutory Reference:

C.G.S. Titles 33, 34, 35 et al

Statement of Need and Program Objectives:

To make information available to the public regarding corporations, limited partnerships, limited liability companies, statutory trusts, limited liability partnerships, Uniform Commercial Code and trademarks by reviewing, recording, copying, computerizing, and certifying documents for and of public record.

Program Description:

The major activities and responsibilities of the program are as follows:

Generates and mails annual reports to business of record; Reviews submitted documents for compliance with statutes; including those governing corporations, limited liability companies, limited liability partnerships, trademark, public utility certificates of compliance, business trusts, railroad mortgages, and appointments of the Secretary of the State as statutory agent; Receives records and forwards writs, summonses and complaints; Creates and updates data records of

businesses; researches and answers written, telephone, and in person inquiries for information and status of businesses.

Expedited Services reviews documents submitted for filing, providing certified copies and legal existence certificates within twenty-four hours of receipt; Verifies funds deposited at time of document review; Reviews and records all Uniform Commercial Code documents such as financial statements, continuations, amendments, notices of attachment, vessel liens, terminations and bankruptcy notices; Prepares abstracts or copies of recorded documents; Creates and updates data records of the liens, researches and answers in writing and in person inquiries for information and status of filings; Creates and updates data records of the liens, researches and answers in writing and in person inquiries for information and status of filings; Identifies and investigates foreign businesses liable for penalties and past due license fees, if applicable, for transacting business in Connecticut prior to obtaining a certificate of authority to do so.; and Assesses penalties, monitors and processes payments, issues demand letters, reviews dispute letters, and recommends proceedings to be initiated by the Attorney General's Office.

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Private Contributions	38	8	0	46	46	46	46	46

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,481	0	0	0	0	0	0	0
<i>Other Current Expenses</i>								
Year 2000 Conversion	21,667	0	0	0	0	0	0	0
TOTAL-General Fund	23,148	0	0	0	0	0	0	0

Additional Funds Available

Private Contributions	3,323,933	4,422,170	3,217,980	3,217,980	3,217,980	3,137,862	3,137,862	3,137,862
TOTAL-All Funds	3,347,081	4,422,170	3,217,980	3,217,980	3,217,980	3,137,862	3,137,862	3,137,862
Commercial Recording								

PROGRAM: ELECTIONS/CAMPAIGN FINANCING

Statutory Reference:

C.G.S. Sections 9-3 and 9-4 et al; Article Third State Constitution

Statement of Need and Program Objectives:

To preserve the integrity and ensure the accuracy of Connecticut's elections, primaries, and referenda through timely communications and training for election officials concerning their duties; approval of tamper resistant voting systems; monitoring implementation of absentee ballot and voter registration laws; tabulation of vote totals for state and district offices; and coordination of voter registration and outreach efforts aimed at young people and other voters.

To implement a statewide electronic elections management system to include an electronic campaign finance filer system, a centralized statewide voter registration system, electronic disclosure of campaign finance records, and use of electronic voting machines.

Program Description:

For the major municipal, state and federal election events, as well as the growing volume of referenda throughout the year, the Elections Division performs the following functions:

Oversees compliance with the federal "Motor Voter" act, which requires certain state agencies (e.g. Department of Motor Vehicles, Department of Social Services) to make voter registration available to clients. The Office also conducts an ongoing statewide voter registration campaign involving individuals and organizations in both the public and private sectors in efforts to increase the number of registered voters in Connecticut. The Office, as the advocate for greater citizen participation in our democracy, regularly issues a report of the State of Democracy in Connecticut, convenes conferences and meetings around the issue, offers educational programs in the area of citizenship at schools and colleges, and bestows citizenship awards on students and individuals.

Administers federal laws such as the National Voter Registration Act of 1993, the Federal Voting Rights Act, and relevant state statutes, by advising state and local agencies which the act requires to notify clients of their right to register to vote and by coordinating a number of educational programs in schools and communities.

Responds to inquiries involving state election and primary law; provides advice to local officials in matters concerning home rule, charter revision, and local referenda.

Educates and trains registrars of voters, municipal clerks, moderators, and voting machine mechanics by conducting schools, convening conferences and distributing educational information.

Prescribes the content of all election and primary forms, prints and distributes absentee ballot materials and instructions to municipalities.

Verifies each municipality's printed absentee and sample ballots for accuracy and, where serious errors exist, orders the reprinting of such materials.

Coordinates elections and primaries by preparing and providing election calendars; counting petition signatures; providing town clerks and the general public with the official lists of candidates to be printed on the ballot; and tabulating, certifying, and distributing the official vote totals.

Receives, reviews, records, and maintains campaign financing statement files for public access. Approximately 14,500 reports are received annually of which 3,200 require supplemental materials. There are approximately 1,000 ongoing committees that file with this office. During a state election year, this number increases to over 1,500 with the creation of candidate committees. Over 215,000 campaign finance reports representing 18 years are currently on file and available for inspection. Approximately \$16,000 has been collected in fees for late filing and copy charges.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Advisory legal opinions issued/yr	2,500	2,500	2,500	2,500
Informational Mailings distributed/yr	250,000	250,000	250,000	250,000
Exams administered/yr	1,200	1,200	1,200	1,200
Manuals/Handbooks distributed/yr	20,000	20,000	20,000	20,000
Primaries, elections/referenda supervised/yr	900	900	900	900
Absentee ballots sets distributed/yr	500,000	500,000	500,000	500,000
Mail-in registration distributed/yr	750,000	900,000	750,000	750,000
Request for information by telephone or written communication	50,000	50,000	50,000	50,000
Campaign Finance reports filed	8,000	15,000	8,000	16,000
Attendees at conferences conducted by this office and exams administered handbooks	2,000	2,000	2,000	2,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	13	0	0	13	15	13	15	13

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	0	0	1	1	1	1

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	729,682	743,097	881,064	798,655	791,896	921,836	838,182	824,313
Other Expenses	735,905	521,387	588,224	587,901	577,909	614,429	614,273	590,123

Other Current Expenses

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Requested</u>	<u>Requested</u>	<u>Requested</u>
Year 2000 Conversion	11,496	0	0	0	0	0
TOTAL-General Fund	1,477,083	1,264,484	1,469,288	1,386,556	1,369,805	1,452,455

Elections/Campaign Financing

PROGRAM: RECORDS AND LEGISLATIVE SERVICES

Statutory Reference:

C.G.S. Chapter 33

Statement of Need and Program Objectives:

To increase the availability of information to the public by reviewing, recording, and filing a variety of documents including all bills, acts, and resolutions of the General Assembly; commissioning notaries public; publishing the *State Register and Manual* and other publications; collecting, recording, and filing information with timeliness and accuracy.

Program Description:

The major activities and responsibilities of the program are as follows:

Reviews, records and files all General Assembly bills, acts, and resolutions; transmits all acts passed to the Governor; records executive action; and returns vetoed bills and messages to the General Assembly. Certifies all legislation regarding appropriations, bond authorizations, and orders on the Treasurer. Prints and distributes acts taking effect before October 1st to the town clerks and courts. Notifies members of the General Assembly of veto and special sessions.

The Notary Public Unit reviews and processes applications for appointment, issues certificates, records name and address changes, and investigates complaints against notaries for misconduct. Prepares certificates evidencing the incumbency and term of elected or

appointed officials including notaries public, town clerks, judges, and other officials of the state and municipalities.

Compiles, publishes, and distributes the Connecticut State Register and Manual and provides information for the variety of informative booklets such as the U.S. and Connecticut Constitutions and State Capitol booklet.

Prepares permanent papers and records of the Secretary's office for storage and/or microfilming; stores and retrieves papers and records housed on the premises or at off-site locations; microfilms permanent papers and records of the Secretary's office; ensures preservation or destruction of records in accordance with public records laws; prepares indexes and guides to groups and series of records; and maintains staff law library.

Records and files a variety of documents including approved agency regulations, schedules of state agency meetings, municipal ordinances and special acts, bonds of trading stamp companies, bonds of state officers and employees, extradition papers, and Governor's executive orders. Prepares plain and certified copies of documents on file with the division as provided by the Connecticut General Statutes.

Provides research services to the public with regard to documents and records filed with the office.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
5-yr Notaries commissioned/maintained/yr	50,000	52,000	52,000	52,000
General Assembly actions recorded/yr	1,991	4,000	2,500	4,000
Documents received and processed/yr	26,339	28,000	28,500	29,000
Register & Manuals distributed-sold/yr	12,000	12,000	12,000	12,000
Notary Appointments	3,248	3,500	3,500	3,500
Notary Renewals	6,900	9,552	9,760	10,165
Document Images microfilmed	538,938	600,000	625,000	650,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions								
General Fund	8	1	0	9	9	9	9	9
Private Contributions	2	0	0	2	2	2	2	2

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	395,652	442,035	465,046	465,046	461,244	489,608	489,608	481,806
Other Expenses	202,891	180,454	187,078	185,963	181,813	196,568	190,427	181,813
TOTAL-General Fund	598,543	622,489	652,124	651,009	643,057	686,176	680,035	663,619
<u>Additional Funds Available</u>								
Private Contributions	128,496	105,247	124,090	124,090	124,090	132,156	132,156	132,156
TOTAL-All Funds	727,039	727,736	776,214	775,099	767,147	818,332	812,191	795,775

Records and Legislative Services

PROGRAM: REGULATION OF LICENSED ACCOUNTANTS

Statutory Reference:

C.G.S. Chapter 389

Statement of Need and Program Objectives:

To protect the users of services rendered by Connecticut licensed accountants by regulating the authorized practice of public accountancy by certified public accountants (CPA) and public accountants as well as the unauthorized practice of public accountancy by unlicensed individuals and firms.

Program Description:

The Board has five distinct program areas: licensing, continuing education, quality review, examination and regulation and discipline.

The Board votes monthly to accept or reject requests, initial certification, licenses, registrations, and permits, after insuring that all

regulatory requirements have been met. Yearly the Board renews currently held licenses, registrations and permits.

Permit holders, as a condition of renewal, must undergo a peer review to determine compliance with technical standards. The results are reported to the Board for review and action. All licensees must report 40 hours of continuing education each year. Disclosure forms are received, reviewed and audited for compliance.

The Board administers the uniform national CPA exam. Certification requires fulfillment of education, exam and experience requirements.

Allegations of violations are received and investigated. Formal hearing, or settlements may result in suspension, revocation, reprimand, probation or censure of a respondent's Connecticut certificate, license or permit or the issuance of an Order of Immediate Discontinuance in the case of unauthorized practice and use of title. Civil penalties of up to \$1000 may be imposed.

<i>Program Measure</i>	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Licenses and Permits Issued Initial				
CPA Certificates	324	325	325	325
CPA Licenses	315	300	300	300
CPA Certificates Registered	150	160	175	175
Firm Permits	116	110	120	120
Renewal				
CPA Certificates Registered	1,595	1,600	1,650	1,700
CPA Licenses	3,433	3,450	3,475	3,500
Firm Permits				
Exam Applicants	1,642	1,000	100	1,000
Written Complaints				
Received/Resolved	176/220	175/225	175/225	175/225
Pending	66	50	50	50
Disciplinary Hearings Held	2	5	5	5

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	5	0	0	5	5	5	5	5

<i>Financial Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	216,853	259,317	287,271	287,271	286,426	301,852	301,852	300,118
Other Expenses	52,247	58,375	94,365	67,551	66,208	103,510	70,933	67,969
<i>Other Current Expenses</i>								
Year 2000 Conversion	39,290	0	0	0	0	0	0	0
TOTAL-General Fund	308,390	317,692	381,636	354,822	352,634	405,362	372,785	368,087

Regulation of Licensed Accountants**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	2,078,411	2,431,098	2,676,778	2,529,988	2,836,104	2,665,542
Other Positions	60,610	33,654	85,131	85,131	80,825	80,825
Other	32,139	34,301	51,794	53,294	125,266	126,766
Overtime	20,986	5,746	24,425	24,425	24,525	24,525
TOTAL-Personal Services Gross	2,192,146	2,504,799	2,838,128	2,692,838	3,066,720	2,897,658
Less Reimbursements						
Less Turnover						
Less General Personal Services Reductions	0	0	0	-25,327	0	-41,881
TOTAL-Personal Services Net	2,192,146	2,504,799	2,838,128	2,667,511	3,066,720	2,855,777
<i>Other Expenses-Contractual Services</i>						
Advertising	1,000	4	1,204	4	1,233	4
Printing And Binding	63,597	171,141	182,008	171,141	186,376	171,141
Dues And Subscriptions	13,409	17,338	17,824	17,338	18,930	17,338
Rents, Storage & Leasing	3,095	20,455	23,284	22,814	23,842	22,814
Telecommunication Services	47,084	80,120	81,963	80,120	83,930	80,120
General Repairs	58,330	67,782	70,753	67,782	72,450	67,782
Motor Vehicle Expenses	13,458	9,500	13,823	13,604	14,155	13,604
Fees For Outside Professional Services	497,930	299,422	459,708	349,422	475,618	349,422
Fees For Non-Professional Services	20,416	24,451	25,013	24,451	25,613	24,451
DP Services, Rentals and Maintenance	320,428	351,692	778,533	770,445	806,018	779,244
Postage	84,849	93,726	95,882	93,726	103,292	98,835
Travel	46,600	39,974	57,312	41,198	63,206	41,198
Other Contractual Services	33,476	14,620	22,984	22,647	25,296	24,408
<i>Other Expenses-Commodities</i>						
Agricultural, Horticultural, And Dairy	119	125	128	125	131	125
Books	2,373	2,955	4,011	3,941	4,108	3,941
Maintenance and Motor Vehicle Supplies	2,332	2,400	2,455	2,400	2,514	2,400
Office Supplies	200,964	223,849	266,498	233,849	279,998	240,954
Miscellaneous Commodities	9,509	6,452	6,601	6,452	6,759	6,452
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	11,698	12,763	27,903	12,763	28,572	12,763
TOTAL-Other Expenses Gross	1,430,667	1,438,769	2,137,887	1,934,222	2,222,041	1,956,996

Budget-in-Detail

Less Reimbursements							
TOTAL-Other Expenses Net	1,430,667	1,438,769	2,137,887	1,934,222	2,222,041	1,956,996	
<i>Other Current Expenses</i>							
Year 2000 Conversion	97,442	0	0	0	0	0	0
TOTAL-Other Current Expenses	97,442	0	0	0	0	0	0

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	2,192,146	2,504,799	2,838,128	2,713,960	2,667,511	3,066,720	2,941,000	2,855,777
Other Expenses Net	1,430,667	1,438,769	2,137,887	1,967,314	1,934,222	2,222,041	2,037,304	1,956,996
Capital Outlay	0	100	312,000	100,000	1,000	130,000	95,500	1,000
Other Current Expenses	97,442	0	0	0	0	0	0	0
TOTAL-General Fund Net	3,720,255	3,943,668	5,288,015	4,781,274	4,602,733	5,418,761	5,073,804	4,813,773
<i>Additional Funds Available</i>								
Private Contributions	4,398,439	5,513,647	4,500,000	4,500,000	4,500,000	4,500,000	4,500,000	4,500,000
TOTAL-All Funds Net	8,118,694	9,457,315	9,788,015	9,281,274	9,102,733	9,918,761	9,573,804	9,313,773

LIEUTENANT GOVERNOR'S OFFICE

[HTTP://WWW.STATE.CT.US/OTLG/](http://www.state.ct.us/otlg/)

AGENCY DESCRIPTION:

The Lieutenant Governor is an elected constitutional officer who is charged with the following responsibilities: Succeeding the Governor in the event the Governor's office becomes vacant during his term; Operating the state government during the Governor's absence from

the state; Providing overall assistance to the Governor; Presiding over the state Senate; Casting the tie-breaking vote when the Senate is equally divided.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	<u>2001-2002</u>	<u>2002-2003</u>
• Reduce Agency Personal Services	-2,449	-2,646
• Transfer Equipment to CEPP	-4,900	-4,900
• Reduce Inflation and Other Miscellaneous Reductions	-1,252	-2,588
• Continue FY 2001 Allotment Recision	-2,720	-2,720
• Make Additional Personal Services Reductions to Effect Economies	-41,837	-54,510
Within Current Services		
• Reduce funding for Summer Workers	-30,000	-32,000

AGENCY PROGRAMS:

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	4	1	0	5	5	5	5	5
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	1	1	1	1	1
Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Assisting in Supervision of the State	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010
TOTAL Agency Programs - All Funds Gross	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010
Summary of Funding								
General Fund Net	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010
TOTAL Agency Programs - All Funds Net	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010

PROGRAM: ASSISTING IN SUPERVISION OF THE STATE

Statutory Reference:

Connecticut State Constitution Article IV, Sections 17-19

Statement of Need and Program Objectives:

To provide overall assistance to the Governor in the operation of state government.

Program Description:

The Lieutenant Governor provides overall assistance to the Governor.

The Connecticut Constitution provides for the election of the Lieutenant Governor and conditions for the succession to the Office of Governor. In case of the governor's death, resignation, refusal to serve or removal

from office, the lieutenant governor shall become governor until the next regular election. In the case of the inability of the governor to exercise the powers and perform the duties of office, or in case of impeachment or absence from the state, the lieutenant governor shall exercise the powers and authority and perform the duties of governor until the disability is removed, or the governor is acquitted or returns.

The Lieutenant Governor is, by virtue of the office, president of the Senate. The Lieutenant Governor has a right to debate, when in committee of the whole, and when the Senate is equally divided, the Lieutenant Governor may cast the tie-breaking vote.

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	4	1	0	5	5	5	5	5
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	1	1	1	1	1
Financial Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	229,902	294,961	321,561	321,561	247,275	356,378	356,378	267,222
Other Expenses	32,688	54,408	55,660	55,660	51,688	56,996	56,996	51,688

Budget-in-Detail

Capital Outlay

Equipment	10,000	10,000	5,000	5,000	100	5,000	5,000	100
TOTAL-General Fund	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010
Assisting in Supervision of the State								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	195,371	261,771	286,061	241,775	318,378	261,222
Other Positions	31,584	28,190	30,000	0	32,000	0
Other	2,947	5,000	5,500	5,500	6,000	6,000
TOTAL-Personal Services Gross	229,902	294,961	321,561	247,275	356,378	267,222
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	229,902	294,961	321,561	247,275	356,378	267,222

Other Expenses-Contractual Services

Printing And Binding	37	62	63	62	65	62
Dues And Subscriptions	40	67	69	67	71	67
Rents, Storage & Leasing	177	295	302	295	309	295
Telecommunication Services	2,881	3,796	3,883	3,796	3,976	3,796
General Repairs	513	754	771	754	790	754
Motor Vehicle Expenses	4,380	6,290	6,435	6,290	6,589	6,290
DP Services, Rentals and Maintenance	2,366	3,938	4,029	3,938	4,125	3,938
Postage	11,622	19,345	19,790	16,625	20,265	16,625
Travel	639	3,428	3,507	3,428	3,591	3,428
Other Contractual Services	977	1,627	1,664	1,627	1,704	1,627

Other Expenses-Commodities

Agricultural, Horticultural, And Dairy	1,101	1,833	1,875	1,833	1,920	1,833
Office Supplies	7,627	11,948	12,223	11,948	12,516	11,948
Miscellaneous Commodities	328	1,025	1,049	1,025	1,075	1,025
TOTAL-Other Expenses Gross	32,688	54,408	55,660	51,688	56,996	51,688
Less Reimbursements						
TOTAL-Other Expenses Net	32,688	54,408	55,660	51,688	56,996	51,688

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	229,902	294,961	321,561	321,561	247,275	356,378	356,378	267,222
Other Expenses Net	32,688	54,408	55,660	55,660	51,688	56,996	56,996	51,688
Capital Outlay	10,000	10,000	5,000	5,000	100	5,000	5,000	100
TOTAL-General Fund Net	272,590	359,369	382,221	382,221	299,063	418,374	418,374	319,010

STATE ELECTIONS ENFORCEMENT COMMISSION

HTTP://WWW.SEEC.STATE.CT.US/

AGENCY DESCRIPTION:

The Elections Enforcement Commission is a non-partisan independent agency that has exclusive civil authority to enforce election laws. Its principal functions are to conduct investigations of complaints concerning violations of the laws governing elections, primaries and

referenda, monitor compliance with campaign financing laws by performing audits, and dispense information that is necessary for regulated persons to comply.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

	<u>2001-2002</u>	<u>2002-2003</u>
	-7,718	-11,999
	-18,500	-9,500
	-1,764	-3,553

AGENCY PROGRAMS:

Personnel Summary

<i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	10	1	0	11	11	11	11	11

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Election Law Enforcement and Control	718,405	793,830	873,449	847,432	826,457	902,766	883,687	870,033
TOTAL Agency Programs - All Funds Gross	718,405	793,830	873,449	847,432	826,457	902,766	883,687	870,033
Less Turnover								
Less General Personal Services Reduction	0	0	0	0	-7,007	0	0	-11,398
TOTAL Agency Programs - All Funds Net	718,405	793,830	873,449	847,432	819,450	902,766	883,687	858,635
<i>Summary of Funding</i>								
General Fund Net	718,405	793,830	873,449	847,432	819,450	902,766	883,687	858,635
TOTAL Agency Programs - All Funds Net	718,405	793,830	873,449	847,432	819,450	902,766	883,687	858,635

PROGRAM: ELECTION LAW ENFORCEMENT AND CONTROL

Statutory Reference:

C.G.S. Sections 9-7a, 9-7b and Chapter 150

Statement of Need and Program Objectives:

To improve public confidence in our electoral process and in the conduct of those seeking or holding a public office in this state by monitoring compliance with and swift enforcement of the election laws.

Program Description:

The Commission is the only administrative agency that conducts investigations of complaints concerning violations of the state election laws. The procedures utilized by an investigation may include the issuance of subpoenas, examination of documents and conduct of hearings. Civil enforcement sanctions, including monetary fines, may be imposed directly by the Commission against violators of these laws. Evidence of criminal conduct is referred to the Chief State's Attorney for prosecution.

The Commission monitors compliance with the campaign financing laws by auditing disclosure reports and disseminating information and advice to thousands of candidates, political action committees and political parties. Random auditing of financial disclosure statements is intended to ensure that errors and omissions are promptly corrected and that violations are deterred.

The Commission also prepares and distributes campaign guides for compliance with election financing laws; conducts seminars for candidates, campaign treasurers, business, professional and labor organizations and other political action groups, and party officials, renders formal and informal advisory opinions and rulings upon request and recommends revisions of election laws to the General Assembly.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Cases investigated, resolved	159	175	185	200
Committee's audited	65	130	130	130
Formal/informal opinions issued	165	175	190	205
Legal revisions recommended	8	10	8	10

Personnel Summary

<i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	10	1	0	11	11	11	11	11

Budget-in-Detail

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	641,640	716,151	749,028	745,691	744,980	786,128	789,157	788,556
Other Expenses	72,901	76,679	94,096	82,241	80,477	99,138	84,030	80,477
Capital Outlay								
Equipment	3,864	1,000	30,325	19,500	1,000	17,500	10,500	1,000
TOTAL-General Fund	718,405	793,830	873,449	847,432	826,457	902,766	883,687	870,033
Election Law Enforcement and Control								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Personal Services						
Permanent Fulltime Positions	604,963	675,627	720,651	724,789	756,991	768,124
Other	36,577	40,414	27,648	19,462	28,408	19,703
Overtime	100	110	729	729	729	729
TOTAL-Personal Services Gross	641,640	716,151	749,028	744,980	786,128	788,556
Less Reimbursements						
Less Turnover						
Less General Personal Services Reductions	0	0	0	-7,007	0	-11,398
TOTAL-Personal Services Net	641,640	716,151	749,028	737,973	786,128	777,158
Other Expenses-Contractual Services						
Printing And Binding	310	326	2,740	326	2,806	326
Dues And Subscriptions	772	1,160	3,112	3,085	3,400	3,085
Rents, Storage & Leasing	16,817	17,689	18,096	17,689	18,530	17,689
Telecommunication Services	9,432	9,921	12,149	9,921	12,393	9,921
Motor Vehicle Expenses	568	598	1,000	598	1,024	598
Fees For Outside Professional Services	10,330	7,450	7,600	7,450	7,600	7,450
Fees For Non-Professional Services	2,531	2,662	2,723	2,662	2,788	2,662
DP Services, Rentals and Maintenance	7,840	9,394	10,662	9,394	10,918	9,394
Postage	2,572	2,800	5,000	2,800	5,120	2,800
Travel	5,443	11,417	14,200	13,290	16,920	13,290
Other Contractual Services	5,190	1,691	4,750	1,691	4,864	1,691
Other Expenses-Commodities						
Books	292	307	327	307	378	307
Office Supplies	10,110	10,534	10,990	10,534	11,632	10,534
Miscellaneous Commodities	694	730	747	730	765	730
TOTAL-Other Expenses Gross	72,901	76,679	94,096	80,477	99,138	80,477
Less Reimbursements						
TOTAL-Other Expenses Net	72,901	76,679	94,096	80,477	99,138	80,477

Character & Major Object Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	641,640	716,151	749,028	745,691	737,973	786,128	789,157	777,158
Other Expenses Net	72,901	76,679	94,096	82,241	80,477	99,138	84,030	80,477
Capital Outlay	3,864	1,000	30,325	19,500	1,000	17,500	10,500	1,000
TOTAL-General Fund Net	718,405	793,830	873,449	847,432	819,450	902,766	883,687	858,635

ETHICS COMMISSION

[HTTP://WWW.ETHICS.STATE.CT.US/](http://www.ethics.state.ct.us/)

AGENCY DESCRIPTION:

The Ethics Commission administers and enforces a code of ethics for public officials and state employees (also covering officials and employees of the state's quasi-public agencies and state consultants) including conflict of interest provisions, post-state employment restrictions, and financial disclosure requirements. It also administers

and enforces a code of ethics for lobbyists including a lobbyist registration and reporting requirement and a limitation on gifts from lobbyists to public officials, state employees, and members of their staffs and families.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Reduce Inflation and Other Miscellaneous Reductions

2001-2002	2002-2003
-7,494	-11,678
-2,447	-5,059

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	10	0	0	10	10	10	10	10

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Ethics Code Public Employ & Lobbyists	979,322	839,390	877,263	889,847	886,851	909,699	921,862	916,221
TOTAL Agency Programs - All Funds Gross	979,322	839,390	877,263	889,847	886,851	909,699	921,862	916,221
Less Turnover								
Less General Personal Services Reduction	0	0	0	0	-6,945	0	0	-11,096
TOTAL Agency Programs - All Funds Net	979,322	839,390	877,263	889,847	879,906	909,699	921,862	905,125
<i>Summary of Funding</i>								
General Fund Net	979,322	839,390	877,263	889,847	879,906	909,699	921,862	905,125
TOTAL Agency Programs - All Funds Net	979,322	839,390	877,263	889,847	879,906	909,699	921,862	905,125

PROGRAM: CODES OF ETHICS FOR PUBLIC EMPLOYEES AND LOBBYISTS

Statutory Reference:

C.G.S. Chapter 10, Parts I and II

Statement of Need and Program Objectives:

To build and maintain the confidence of Connecticut citizens in their government through administration and enforcement of a code of ethics for public officials and state employees and a code of ethics for lobbyists.

Program Description:

The major activities of the commission are as follows:

Educate those subject to the codes and members of the public as to the codes' requirements; Obtain and make available for public inspection, statements revealing: the financial interests of designated public officials and senior state employees (except judges), their spouses, and their dependent children, and; the income earned by sheriffs and deputy sheriffs in their official capacity; Register lobbyists

and provide means of identifying them while lobbying; Obtain from lobbyists, and make available for public inspection, periodic financial reports disclosing lobbyists' receipts and expenditures in furtherance of lobbying; Notify each public official whose name, or the name of a family or staff member, appears in a lobbyist's financial report; Provide formal and informal interpretations of the codes of ethics when requested, and advise those subject to the codes regarding compliance with them; Enforce the code of ethics for public officials and the code of ethics for lobbyists; and Conduct random audits of lobbyist financial record.

Both statutes administered by the Ethics Commission operate on a calendar year basis. Lobbyists register for the biennium. Statements of financial interest cover a calendar year.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
Statements of financial interests due	1,658	1,700	1450	1450
Lobbyists registered	1000	3200	1050	3300
Lobbyists financial reports due	8000	8,000	8250	8500
Percentages of Req. Reports Filed Electronically	10%	50%	75%	75%
Written requests for advice	275	300	325	350
Enforcement proceedings completed	55	75	75	75
Publications distributed	25,000	15000	10000	10000
Conduct random audits-lobbyist records	0	0	20	20

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	10	0	0	10	10	10	10	10

Budget-in-Detail

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	700,900	690,903	723,052	738,913	738,364	752,023	768,316	767,734
Other Expenses	79,821	106,387	111,245	108,834	106,387	113,679	111,446	106,387
Capital Outlay								
Equipment	0	100	0	100	100	0	100	100
Other Current Expenses								
Lobbyist Electronic Filing Program	198,601	42,000	42,966	42,000	42,000	43,997	42,000	42,000
TOTAL-General Fund	979,322	839,390	877,263	889,847	886,851	909,699	921,862	916,221

Ethics Code Public Employ & Lobbyists

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Personal Services						
Permanent Fulltime Positions	693,673	681,873	713,916	713,367	741,646	741,064
Other	7,227	9,030	9,136	24,997	10,377	26,670
TOTAL-Personal Services Gross	700,900	690,903	723,052	738,364	752,023	767,734
Less Reimbursements						
Less Turnover						
Less General Personal Services Reductions	0	0	0	-6,945	0	-11,096
TOTAL-Personal Services Net	700,900	690,903	723,052	731,419	752,023	756,638
Other Expenses-Contractual Services						
Printing And Binding	4,277	5,701	5,832	5,701	5,972	5,701
Dues And Subscriptions	943	1,257	1,286	1,257	1,317	1,257
Rents, Storage & Leasing	4,401	5,866	6,001	5,866	6,145	5,866
Telecommunication Services	6,406	8,536	8,732	8,536	8,942	8,536
General Repairs	365	487	498	487	510	487
Motor Vehicle Expenses	293	390	399	390	409	390
Fees For Outside Professional Services	5,493	7,322	9,900	7,322	9,900	7,322
Fees For Non-Professional Services	1,039	1,385	1,417	1,385	1,451	1,385
DP Services, Rentals and Maintenance	1,893	2,523	2,581	2,523	2,643	2,523
Postage	3,868	5,156	5,275	5,156	5,402	5,156
Travel	17,211	22,940	23,468	22,940	24,032	22,940
Other Contractual Services	4,289	5,716	5,848	5,716	5,988	5,716
Other Expenses-Commodities						
Agricultural, Horticultural, And Dairy	1,000	1,333	1,364	1,333	1,397	1,333
Books	130	173	177	173	181	173
Office Supplies	27,838	37,102	37,955	37,102	38,866	37,102
Other Expenses-Sundry						
Sundry - Other Items	375	500	512	500	524	500
TOTAL-Other Expenses Gross	79,821	106,387	111,245	106,387	113,679	106,387
Less Reimbursements						
TOTAL-Other Expenses Net	79,821	106,387	111,245	106,387	113,679	106,387
Other Current Expenses						
Lobbyist Electronic Filing Program	198,601	42,000	42,966	42,000	43,997	42,000
TOTAL-Other Current Expenses	198,601	42,000	42,966	42,000	43,997	42,000

Character & Major Object Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	700,900	690,903	723,052	738,913	731,419	752,023	768,316	756,638
Other Expenses Net	79,821	106,387	111,245	108,834	106,387	113,679	111,446	106,387
Capital Outlay	0	100	0	100	100	0	100	100
Other Current Expenses	198,601	42,000	42,966	42,000	42,000	43,997	42,000	42,000
TOTAL-General Fund Net	979,322	839,390	877,263	889,847	879,906	909,699	921,862	905,125

FREEDOM OF INFORMATION COMMISSION

HTTP://WWW.STATE.CT.US/FOI/

AGENCY DESCRIPTION:

The Freedom of Information Commission is charged with ensuring that the people of Connecticut have access to the records and meetings of

all public agencies and that all public agencies fully comply with the Freedom of Information Act.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

New or Expanded Services

- Add One Position for Public Education Program

	2001-2002	2002-2003	2001-2002	2002-2003	2003-2004
	-11,712	-18,590			
	-21,600	-16,900			
	-2,745	-5,737			
	61,427	63,799			66,000

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	15	0	0	15	16	16	16	16

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Admin & Enforce of Freedom of Info Act	1,080,250	1,163,676	1,381,996	1,258,032	1,294,402	1,438,576	1,319,380	1,359,786
TOTAL Agency Programs - All Funds Gross	1,080,250	1,163,676	1,381,996	1,258,032	1,294,402	1,438,576	1,319,380	1,359,786
Less Turnover								
Less General Personal Services Reduction	0	0	0	0	-11,000	0	0	-17,834
TOTAL Agency Programs - All Funds Net	1,080,250	1,163,676	1,381,996	1,258,032	1,283,402	1,438,576	1,319,380	1,341,952
Summary of Funding								
General Fund Net	1,080,250	1,163,676	1,381,996	1,258,032	1,283,402	1,438,576	1,319,380	1,341,952
TOTAL Agency Programs - All Funds Net	1,080,250	1,163,676	1,381,996	1,258,032	1,283,402	1,438,576	1,319,380	1,341,952

PROGRAM: ADMINISTRATION AND ENFORCEMENT OF THE STATE'S FREEDOM OF INFORMATION ACT

Statutory Reference:

C.G.S. Section 1-200 et seq.

Statement of Need and Program Objectives:

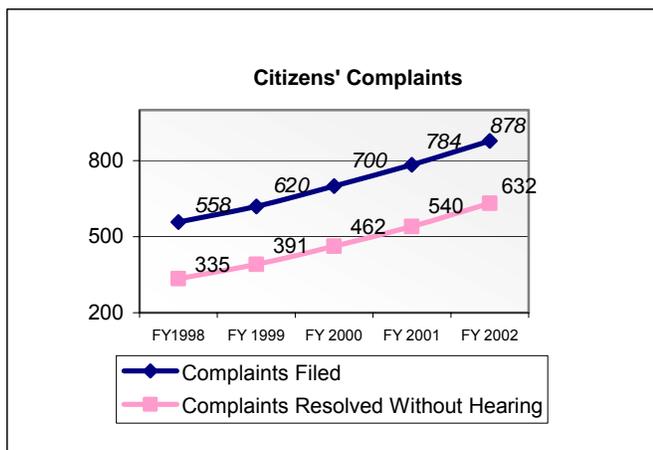
To ensure that the people of Connecticut have access to the non-exempt records and meetings of all state, local and regional public agencies; and to ensure that all public agencies fully comply with the state's Freedom of Information Act.

Program Description:

quickly and inexpensively. To this end, the commission attempts to resolve as many cases as possible without formal hearings by use of ombudsmen (mediators) and its statutory powers to summarily terminate meritless cases.

Inform and educate the public of their rights under the Freedom of Information Act; inform and educate public officials of their obligations under the Freedom of Information Act; provide information to legislators and other policy-makers and introduce and comment on proposed legislation.

The objective of this activity is not only to inform and educate people so that they understand their rights and obligations, but by providing these services, minimize the potential for disputes, thereby reducing the rate of growth in formal complaints to the commission, making the law more effective and the commission more efficient. The commission employs a wide variety of means in furtherance of this activity. It sponsors an annual conference, conducts numerous workshops and provides speakers. (In 1999, the commission conducted workshops and provided speakers on 52 occasions; in 2000, the commission conducted workshops and provide speakers on at least 50 occasions). It responds to thousands of written and oral inquiries. It publishes and distributes current versions of the Freedom of Information Act and other literature about the act and the commission. It has established a popular inter-active website (www.state.ct.us/foi/), on which its decisions can be researched and downloaded. It sponsors symposia and studies concerning the Freedom of Information Act, compliance with that law, and privacy rights. The commission is actively involved in policy initiatives and projects with other agencies concerning privacy, information technology and public records administration. It is also currently preparing to work cooperatively with statutorily authorized local Freedom of Information advisory boards and others who are to act as Freedom of Information liaisons for municipalities, school districts and state agencies.



The major activities of the Commission are as follows:

Hear and decide citizen complaints and requests for declaratory rulings by means of a speedy and inexpensive process designed to be used by laypersons. The objective of this activity is to resolve cases fairly,

Budget-in-Detail

Provide annual training opportunities for municipalities and regional agencies, including their Freedom of Information advisory boards and liaisons; school districts, including their liaisons; and all state agencies, including their liaisons.

Represent the commission, through staff counsel, in all court appeals and other litigation affecting the commission.

By statute, the commission's own staff attorneys represent the commission as counsel, including in court cases. The objective of this activity is for staff counsel to advise the commission and present the commission's legal position in court fully, competently and creatively so that its decisions and interests are upheld.

Program Measure

	1999-2000 <u>Actual</u>	2000-2001 <u>Estimated</u>	2001-2002 <u>Projected</u>	2002-2003 <u>Projected</u>
Contested Cases	676	784	878	900
Cases Settled by Ombudsman	220	540	632	675
Court Appeals and Other Litigation	20	25	25	25
Advisory Opinions	2	2	2	2
Education Programs and Speaking Engagements	41	60	70	70
Commission Meetings- Regular	22	24	24	24
Commission Meetings- Special	1	3	3	3

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions	15	0	0	15	16	16	16	16
General Fund								

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	967,191	1,043,341	1,195,676	1,112,378	1,169,493	1,261,594	1,173,834	1,233,877
Other Expenses	110,059	119,335	147,570	124,654	123,909	151,382	127,646	124,909
<u>Capital Outlay</u>								
Equipment	3,000	1,000	38,750	21,000	1,000	25,600	17,900	1,000
TOTAL-General Fund	1,080,250	1,163,676	1,381,996	1,258,032	1,294,402	1,438,576	1,319,380	1,359,786

Admin & Enforce of Freedom of Info Act

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object

	1999-2000 <u>Actual</u>	2000-2001 <u>Estimated</u>	2001-2002 <u>Requested</u>	2001-2002 <u>Recommended</u>	2002-2003 <u>Requested</u>	2002-2003 <u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	957,135	1,032,576	1,085,826	1,142,941	1,143,766	1,203,809
Other Positions	0	0	10,000	0	10,000	0
Other	9,816	10,508	99,139	25,841	107,117	29,357
Overtime	240	257	711	711	711	711
TOTAL-Personal Services Gross	967,191	1,043,341	1,195,676	1,169,493	1,261,594	1,233,877
Less Reimbursements						
Less Turnover						
Less General Personal Services Reductions	0	0	0	-11,000	0	-17,834
TOTAL-Personal Services Net	967,191	1,043,341	1,195,676	1,158,493	1,261,594	1,216,043

Other Expenses-Contractual Services

Printing And Binding	1,791	1,942	1,987	1,942	2,487	1,942
Dues And Subscriptions	5,648	6,124	6,265	6,124	6,415	6,124
Rents, Storage & Leasing	24,938	27,040	27,662	27,040	28,326	27,040
Telecommunication Services	8,172	8,860	10,860	10,656	11,121	10,656
General Repairs	1,046	1,134	1,160	1,134	1,188	1,134
Motor Vehicle Expenses	470	510	1,000	510	1,200	510
Fees For Outside Professional Services	17,205	18,656	24,000	20,656	24,288	21,656
Fees For Non-Professional Services	397	430	440	430	451	430
DP Services, Rentals and Maintenance	6,197	6,720	13,626	7,498	13,953	7,498
Postage	10,927	11,848	12,121	11,848	12,412	11,848
Travel	13,589	14,733	21,428	14,733	21,895	14,733
Other Contractual Services	4,674	5,069	5,185	5,069	5,310	5,069

Other Expenses-Commodities

Books	28	30	350	30	358	30
Office Supplies	14,316	15,523	16,881	15,523	17,262	15,523
Miscellaneous Commodities	546	591	605	591	620	591

Other Expenses-Sundry

Sundry - Other Items	115	125	4,000	125	4,096	125
TOTAL-Other Expenses Gross	110,059	119,335	147,570	123,909	151,382	124,909
Less Reimbursements						
TOTAL-Other Expenses Net	110,059	119,335	147,570	123,909	151,382	124,909

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	967,191	1,043,341	1,195,676	1,112,378	1,158,493	1,261,594	1,173,834	1,216,043
Other Expenses Net	110,059	119,335	147,570	124,654	123,909	151,382	127,646	124,909
Capital Outlay	<u>3,000</u>	<u>1,000</u>	<u>38,750</u>	<u>21,000</u>	<u>1,000</u>	<u>25,600</u>	<u>17,900</u>	<u>1,000</u>
TOTAL-General Fund Net	1,080,250	1,163,676	1,381,996	1,258,032	1,283,402	1,438,576	1,319,380	1,341,952

JUDICIAL SELECTION COMMISSION

AGENCY DESCRIPTION:

The Judicial Selection Commission evaluates, investigates and recommends qualified candidates for consideration by the Governor for

nomination as judges for the superior court, appellate court and supreme court.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

	<u>2001-2002</u>	<u>2002-2003</u>
	-5,100	
	-462	-960

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	1	0	0	1	1	1	1	1

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Merit Selection of Judges	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510
TOTAL Agency Programs - All Funds Gross	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510
<u>Summary of Funding</u>								
General Fund Net	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510
TOTAL Agency Programs - All Funds Net	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510

PROGRAM: MERIT SELECTION OF JUDGES

Statutory Reference:

C.G.S. Section 51-44a

Statement of Need and Program Objectives:

To recommend qualified candidates to the Governor for nomination as judges.

Program Description:

The Judicial Selection Commission consists of 12 members: 2 from each of Connecticut's 6 congressional districts. No more than six members can be from the same political party and none can be an

elected or appointed state official or hold statewide political party office. Of the 12 members, 6 must not be attorneys.

The Commission seeks qualified candidates for consideration by the governor for nomination as judges for the superior court, appellate court and supreme court. It must evaluate incumbent judges who seek reappointment to the same court.

It also develops a listing of qualified candidates by investigating and interviewing the candidates, including incumbent judges seeking appointment to a different court.

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	1	0	0	1	1	1	1	1

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	57,354	63,221	84,591	84,591	84,591	89,683	89,683	89,683
Other Expenses	32,389	20,120	20,785	20,785	20,323	22,187	21,687	20,727
<u>Capital Outlay</u>								
Equipment	0	100	5,200	5,200	100	0	100	100
TOTAL-General Fund	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510
Merit Selection of Judges								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	57,070	59,057	78,691	78,691	83,483	83,483
Other	284	4,164	5,900	5,900	6,200	6,200
TOTAL-Personal Services Gross	57,354	63,221	84,591	84,591	89,683	89,683
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	57,354	63,221	84,591	84,591	89,683	89,683
<i>Other Expenses-Contractual Services</i>						
Advertising	200	124	127	124	130	124
Dues And Subscriptions	355	221	226	221	231	221
Rents, Storage & Leasing	4,627	2,874	2,940	2,874	3,011	2,874
Telecommunication Services	947	588	602	588	616	588
Fees For Outside Professional Services	5,975	3,712	4,000	3,915	5,000	4,319
Fees For Non-Professional Services	4,380	2,721	2,784	2,721	2,851	2,721
DP Services, Rentals and Maintenance	85	53	54	53	55	53
Postage	4,296	2,669	2,730	2,669	2,796	2,669
Travel	276	172	176	172	180	172
Other Contractual Services	573	355	363	355	372	355
<i>Other Expenses-Commodities</i>						
Agricultural, Horticultural, And Dairy	7,222	4,487	4,590	4,487	4,700	4,487
Maintenance and Motor Vehicle Supplies	22	13	13	13	13	13
Office Supplies	3,431	2,131	2,180	2,131	2,232	2,131
TOTAL-Other Expenses Gross	32,389	20,120	20,785	20,323	22,187	20,727
Less Reimbursements						
TOTAL-Other Expenses Net	32,389	20,120	20,785	20,323	22,187	20,727

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	57,354	63,221	84,591	84,591	84,591	89,683	89,683	89,683
Other Expenses Net	32,389	20,120	20,785	20,785	20,323	22,187	21,687	20,727
Capital Outlay	0	100	5,200	5,200	100	0	100	100
TOTAL-General Fund Net	89,743	83,441	110,576	110,576	105,014	111,870	111,470	110,510

STATE PROPERTIES REVIEW BOARD

AGENCY DESCRIPTION:

The State Properties Review Board, created by Public Act 75-425, consists of six members, appointed on a bi-partisan basis, for overlapping four-year terms. The Speaker of the House and the President Pro Tempore of the Senate appoint three members jointly,

and the Minority Leader of the House and the Minority Leader of the Senate appoint three members jointly. The Board provides oversight for the Legislature of real estate transactions and related consultant contracts proposed by the Executive Branch.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

	<u>2001-2002</u>	<u>2002-2003</u>
	-763	-340
	-8,000	
	-767	-1,585

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	6	0	0	6	6	6	6	6

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Approve Prop Transactions & Cap Projs	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279
TOTAL Agency Programs - All Funds Gross	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279
<u>Summary of Funding</u>								
General Fund Net	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279
TOTAL Agency Programs - All Funds Net	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279

PROGRAM: APPROVE PROPOSED REAL ESTATE TRANSACTIONS AND CONSULTANT CONTRACTS

Statutory Reference:

C.G.S. Sections 4b-3, 4b-23 and 13a-73

Statement of Need and Program Objectives:

To ensure that the State's real estate transactions, farm development rights acquisitions and consultant contracts are in the best interest of the State and are made in conformance with State statutes and prudent business practices.

Program Description:

In discharging its responsibilities, the Board: Reviews and approves the acquisition, construction, development, and leasing of offices and other facilities for State agencies, the acquisition of land for

transportation systems, and the lease or sale of State-owned real estate to third parties; Approves the selection of and contracts with architects, engineers and other consultants for major building projects, as proposed by Public Works; Reviews, evaluates and approves the acquisition of development rights for farm land proposed by the Department of Agriculture under the Agricultural Land Preservation Pilot Program; and Provides its services, at least twice per week.

On average the Board approves the over 600 proposed transactions each year in less than 12 calendar days, counting weekends and holidays. Typically, the Board saves the State taxpayers over \$1.0 million each year.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Items Reviewed	644	650	650	650
Savings Realized as a Result of the Board's Actions (\$)	1,619,239	2,500,000	1,000,000	1,000,000

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	6	0	0	6	6	6	6	6

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	301,649	319,909	342,789	345,802	345,039	361,259	364,273	363,933
Other Expenses	178,853	178,346	189,113	185,113	184,346	189,931	185,931	184,346
<u>Capital Outlay</u>								
Equipment	1,000	1,000	9,000	9,000	1,000	0	1,000	1,000
TOTAL-General Fund	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279
Approve Prop Transactions & Cap Projs								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	300,449	318,209	340,839	343,089	358,867	361,541
Other	1,200	1,700	1,950	1,950	2,392	2,392
TOTAL-Personal Services Gross	301,649	319,909	342,789	345,039	361,259	363,933
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	301,649	319,909	342,789	345,039	361,259	363,933
<i>Other Expenses-Contractual Services</i>						
Dues And Subscriptions	1,187	1,200	1,228	1,200	1,257	1,200
Telecommunication Services	1,094	1,150	1,176	1,150	1,204	1,150
General Repairs	2,134	2,150	2,199	2,150	2,252	2,150
Motor Vehicle Expenses	148	175	179	175	183	175
Fees For Outside Professional Services	143,400	145,000	155,000	151,000	155,000	151,000
DP Services, Rentals and Maintenance	9,745	7,171	7,336	7,171	7,512	7,171
Travel	15,265	15,500	15,857	15,500	16,238	15,500
<i>Other Expenses-Commodities</i>						
Office Supplies	5,880	6,000	6,138	6,000	6,285	6,000
TOTAL-Other Expenses Gross	178,853	178,346	189,113	184,346	189,931	184,346
Less Reimbursements						
TOTAL-Other Expenses Net	178,853	178,346	189,113	184,346	189,931	184,346

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	301,649	319,909	342,789	345,802	345,039	361,259	364,273	363,933
Other Expenses Net	178,853	178,346	189,113	185,113	184,346	189,931	185,931	184,346
Capital Outlay	1,000	1,000	9,000	9,000	1,000	0	1,000	1,000
TOTAL-General Fund Net	481,502	499,255	540,902	539,915	530,385	551,190	551,204	549,279

STATE TREASURER

AGENCY DESCRIPTION:

The State Treasurer, elected for a term of four years as provided in the State Constitution, is responsible for the custody of the property and money of the state and pays out those monies on warrants drawn and presented by the State Comptroller.

The Treasurer invests any temporarily idle monies in the state's General Fund as well as the assets of the state pension and other trust funds.

With the approval of the State Bond Commission, the Treasurer administers the sale of state bonds, payment of the interest thereon and their redemption. The Treasurer also supervises the borrowing of those funds, the repayment of which is a limited or contingent liability of the state.

With the permission of the Governor, the Treasurer may borrow on notes which are the full faith and obligation of the state and repay them as monies become available to do so.

The Treasurer also serves as the custodian for all unclaimed property remitted to the state. The Treasurer safeguards these assets, publicizes the names of the rightful owners, and returns those assets to the owners as they come forward.

The Second Injury Fund, a workers compensation fund financed by assessments on businesses, is also under the jurisdiction of the Treasurer.

AGENCY PROGRAM INDEX

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Cash Management	105		

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

• Reduce Agency Personal Services	2001-2002	2002-2003
	-65,551	-119,798
• Transfer Equipment to CEPF	-23,000	-23,000
• Reduce Inflation and Other Miscellaneous Reductions	-10,056	-20,789
• Continue FY 2001 Allotment Recision	-50,000	-50,000

AGENCY PROGRAMS:

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions								
General Fund	45	8	0	53	53	53	53	53
Special Transportation Fund	1	0	0	1	1	1	1	1
Unclaimed Property Fund	29	0	0	29	29	29	29	29
Second Injury Fund	93	0	0	93	93	93	93	93
Special Funds, Non-Appropriated	3	0	0	3	3	3	3	3
Investment Trust Fund	27	0	-1	26	26	26	26	26
Private Contributions	10	0	0	10	10	10	10	10
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			5	4	4	4	4	4
<i>Agency Programs by Total Funds (Net of Reimbursements)</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Administration	1,756,054	1,587,057	1,736,903	1,719,375	1,697,101	1,844,482	1,826,954	1,788,619
Debt Management	574,650	641,988	748,034	747,309	740,126	828,457	827,732	815,108
Investment Services	47,592,414	49,970,784	51,173,165	51,173,165	51,173,165	52,480,874	52,480,874	52,480,874
Cash Management	3,664,088	3,920,841	4,115,397	4,112,497	4,093,213	4,225,693	4,222,793	4,191,698
Second Injury Fund	47,404,174	53,646,063	49,641,293	49,641,293	49,641,293	45,501,403	45,501,403	45,501,403
Unclaimed Property and Escheats	2,262,740	2,660,588	2,747,482	2,747,482	2,747,482	2,863,086	2,863,086	2,863,086
Management Services	1,287,279	1,613,638	1,530,144	1,527,969	1,511,337	1,602,210	1,600,035	1,572,210
TOTAL Agency Programs - All Funds Gross	104,541,399	114,040,959	111,692,418	111,669,090	111,603,717	109,346,205	109,322,877	109,212,998
Less Turnover	0	0	-46,628	-46,628	-96,628	-50,029	-50,029	-100,029
Less General Personal Services Reduction	0	0	0	0	-33,234	0	0	-53,708
TOTAL Agency Programs - All Funds Net	104,541,399	114,040,959	111,645,790	111,622,462	111,473,855	109,296,176	109,272,848	109,059,261
<i>Summary of Funding</i>								
General Fund Net	3,323,736	3,893,945	4,090,041	4,066,713	3,918,106	4,316,579	4,293,251	4,079,664
Unclaimed Property Fund	2,440,243	2,997,712	3,101,317	3,101,317	3,101,317	3,237,078	3,237,078	3,237,078
Special Funds	171,255	177,148	183,078	183,078	183,078	196,059	196,059	196,059
Second Injury Fund	7,066,757	9,346,887	9,451,495	9,451,495	9,451,495	8,614,735	8,614,735	8,614,735
Federal Contributions	14,192	14,518	14,852	14,852	14,852	15,208	15,208	15,208

Investment Trust Fund	47,801,187	50,248,282	51,466,003	51,466,003	51,466,003	52,790,653	52,790,653	52,790,653
Private Contributions	43,724,029	47,362,467	43,339,004	43,339,004	43,339,004	40,125,864	40,125,864	40,125,864
TOTAL Agency Programs - All Funds Net	104,541,399	114,040,959	111,645,790	111,622,462	111,473,855	109,296,176	109,272,848	109,059,261

PROGRAM: ADMINISTRATION

Statutory Reference:

C.G.S. Chapter 32 and Article Fourth of the State Constitution

Statement of Need and Program Objectives:

To direct and support the operations of the Office of the State Treasurer by establishing long and short-term goals and objectives and coordinating and providing management services.

Program Description:

The Executive Office is responsible for:

General administration of the Treasury; Establishment of overall direction and policy; Provision of public education and information; and Legislative initiatives, legal affairs and social compliance coordination.

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Fulltime Positions</i>								
General Fund	13	3	0	16	16	16	16	16
Special Transportation Fund	1	0	0	1	1	1	1	1
Second Injury Fund	1	0	0	1	1	1	1	1
Investment Trust Fund	2	0	0	2	2	2	2	2
<i>Other Positions Equated to Full Time</i>								
General Fund			1999-2000 Actual	2000-2001 Estimated	2001-2002 Requested	2001-2002 Recommended	2002-2003 Requested	2002-2003 Recommended
			3	2	2	2	2	2

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	941,939	1,112,686	1,241,818	1,227,190	1,216,363	1,329,597	1,314,969	1,292,828
Other Expenses	177,243	186,924	181,879	181,879	177,432	186,244	186,244	177,050
<i>Capital Outlay</i>								
Equipment	0	5,000	10,900	8,000	1,000	10,900	8,000	1,000
TOTAL-General Fund	1,119,182	1,304,610	1,434,597	1,417,069	1,394,795	1,526,741	1,509,213	1,470,878
<i>Additional Funds Available</i>								
Unclaimed Property Fund	86,523	89,813	94,395	94,395	94,395	100,092	100,092	100,092
Second Injury Fund	39,231	90,008	97,094	97,094	97,094	100,298	100,298	100,298
Investment Trust Fund	39,464	102,626	110,817	110,817	110,817	117,351	117,351	117,351
Private Contributions	471,654	0	0	0	0	0	0	0
TOTAL-All Funds	1,756,054	1,587,057	1,736,903	1,719,375	1,697,101	1,844,482	1,826,954	1,788,619

Administration

PROGRAM: DEBT MANAGEMENT

Statutory Reference:

Section 3-13

Statement of Need and Program Objectives:

To raise funds for all State capital projects through issuance of State bonds in the financial markets.

To qualify as much State borrowing for exemption from federal taxes as law permits.

To manage the State's existing debt portfolio and meet all bond requirements in a manner that minimizes State interest payments and maximizes return on related State investments.

Program Description:

The State of Connecticut finances a wide array of capital projects and programs through the issuance of general obligation bonds backed by the general taxing power of the State. The projects include construction or repair of state offices, institutions, colleges and universities and prisons. The programs include loans or grants for housing, school construction, economic development, venture capital, community care facilities, development rights for farmland and open space acquisition.

Special tax obligation bonds, backed by a dedicated stream of gasoline tax and motor vehicle fines, fees and related charges, are issued to fund the non-federal share of the Transportation Infrastructure Renewal Program including mass transit facilities and highway projects.

The Division also assists the University of Connecticut in the issuance of its general and special obligation bonds under a ten-year capital program to rebuild and refurbish the University of Connecticut.

The Debt Management Division has developed several revenue bonding programs that are not included in the program measures. The Clean Water Fund bonding program enhances the State's Clean Water Fund which provides grants and loans to finance the planning, design and construction of water quality projects throughout the State including projects to improve water quality in Long Island Sound. Other specialized bonding programs include the Second Injury Fund Bonding Program, the Connecticut Unemployment Revenue Bond Program, the Bradley International Airport bonding program and the Rate Reduction Bonding program for electric utility stranded costs.

Elements of the bond issuance process include: preparing an official statement to disclose all pertinent information regarding the state's economy and fiscal condition to underwriters and bond investors; making presentations to Moody's, Standard and Poor's, and Fitch to obtain a credit rating on each issue; reviewing with bond and tax attorneys individual projects which may be included in a bond issue to assure that each qualifies for the federal tax exemption; structuring the issue for market acceptance; pricing the issue by competitive bid or negotiated sale; and investing and releasing bond proceeds in accordance with bond indenture and federal tax requirements.

Elements of the effective management of the State's existing debt portfolio include: arranging for payment of principal and interest; projecting, budgeting and reporting debt service requirements; screening existing debt portfolio for refunding opportunities; defeasing, redeeming or calling existing bonds as appropriate; coordinating with other agencies and the Legislature regarding the State's bonding programs; communicating with individual and institutional investors; and, complying with tax, disclosure and bond indenture requirements under the various bonding programs.

Budget-in-Detail

Program Measure

Amount of Bonds Sold (\$M)

1999-2000	2000-2001	2001-2002	2002-2003
<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
1,485	1,164	1,575	1,312

Personnel Summary

Permanent Fulltime Positions

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	5	1	0	6	6	6	6	6
Special Funds, Non-Appropriated	3	0	0	3	3	3	3	3

Financial Summary

(Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	301,781	356,561	454,019	454,019	450,012	518,866	518,866	510,671
Other Expenses	48,191	51,128	52,304	52,304	51,128	53,557	53,557	51,128
Capital Outlay								
Equipment	0	0	2,725	2,000	0	2,725	2,000	0
TOTAL-General Fund	349,972	407,689	509,048	508,323	501,140	575,148	574,423	561,799
Additional Funds Available								
Special Funds	171,255	177,148	183,078	183,078	183,078	196,059	196,059	196,059
Second Injury Fund	39,231	42,633	41,056	41,056	41,056	42,042	42,042	42,042
Federal Contributions								
66468 Wastewater Operator Training Grt	14,192	14,518	14,852	14,852	14,852	15,208	15,208	15,208
TOTAL-All Funds	574,650	641,988	748,034	747,309	740,126	828,457	827,732	815,108

Debt Management

PROGRAM: INVESTMENT SERVICES

Statutory Reference:

C. G. S. Section 3-13a

Statement of Need and Program Objectives:

To maximize the investment return over time on pension assets within an acceptable degree of risk so that: Benefit payments over time, when due, can be made to all beneficiaries and contributions required from state and municipal plan sponsors are minimized.

Program Description:

Under the direction of the Treasurer and with the advice of the Investment Advisory Council, which is made up of state union representatives and gubernatorially and legislatively appointed members, the Pension Funds Management division manages the Connecticut Combined Investment Funds for the benefit of five pension funds and several trust funds involving approximately 160,000 active and retired participants. The pension funds are the Teachers' Retirement Fund, State Employees' Retirement Fund, Municipal Employees' Retirement Fund, Probate Court Retirement Fund and the Judges and Compensation Commissioners' Retirement Fund.

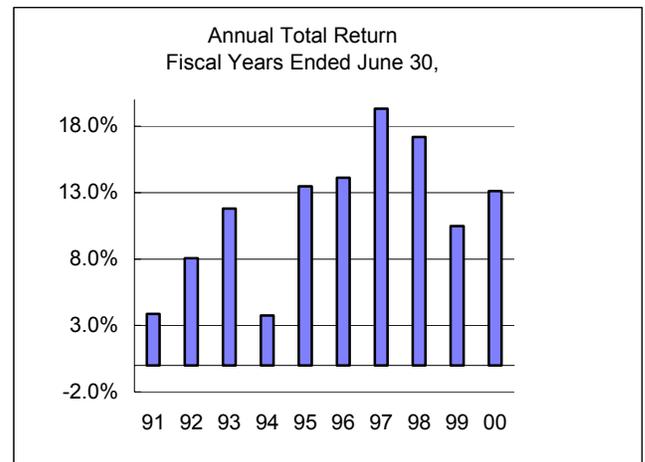
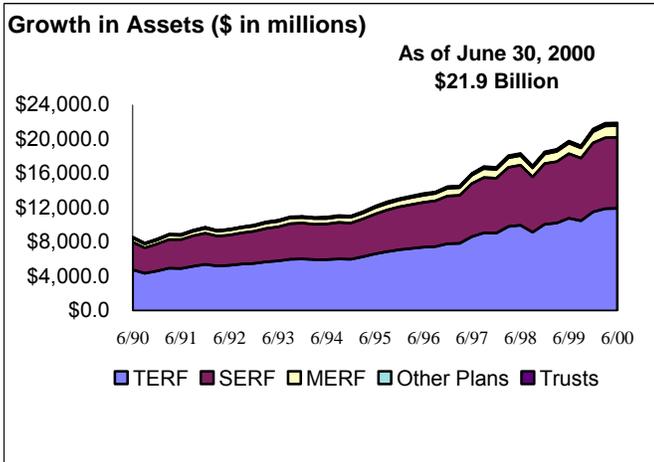
The Treasurer maintains seven active investment funds in which the pension and trust funds' cash flow is invested through the purchase

Outcome Measures:

of units. The investment funds that comprise the Combined Investment Funds are the Cash Reserve Account (CRA) - money market instruments; the Mutual Equity Fund (MEF) - domestic stocks; the Mutual Fixed Income Fund (MFIF) - bonds and other fixed income securities; the Real Estate Fund (REF) - equity commercial real estate funds; the International Stock Fund (ISF) - international stocks and bonds; the Private Investment Fund (PIF); and the Commercial Mortgage Fund (CMF).

The investment funds are externally managed with performance oversight maintained by the Pension Funds Management division.

The principal activities involved in attaining the program's goals are the appropriate allocation of each pension fund's cash flow into the investment funds and the supervision of external portfolio managers to ensure superior long-term investment results. The allocation process includes cash flow projections and formulating and reviewing short and long-term investment policy, implementing policy with cash flow and redemption of assets and monitoring performance. The program is also charged with ensuring that all investments are in compliance with state statutes, pertinent investment guidelines and the Treasurer's corporate governance policies, including the voting of proxies to maximize long-term shareholder value.



Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Assets under management/year-end (\$M)	18,849	19,791	20,781	21,820
Cash flow for investment (M)	-263	-276	-289	-304
Income earned on investments	818	859	902	947
Appreciation/depreciation of assets (\$M)	681	715	751	788
Total Return on Investments (\$M)	2,726	2,958	3,209	3,482
Percent of assets (%)	17.2	8.5	8.5	8.5
Change in Consumer Price Index (%)	1.7	1.8	1.9	2.

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions	22	0	0	22	22	22	22	22
Investment Trust Fund								

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Additional Funds Available								
Investment Trust Fund	47,592,414	49,970,784	51,173,165	51,173,165	51,173,165	52,480,874	52,480,874	52,480,874
TOTAL-All Funds	47,592,414	49,970,784	51,173,165	51,173,165	51,173,165	52,480,874	52,480,874	52,480,874
Investment Services								

PROGRAM: CASH MANAGEMENT

Statutory Reference:

C. G. S. Section 3-13

Statement of Need and Program Objectives:

To protect State deposits through strong internal operations and use of financially-strong banks.

To maximize investment balances, while meeting the State's obligations, by speeding deposits, controlling disbursements, minimizing banking costs and balances, and providing accurate cash forecasts.

To achieve as high a level of current income in the Treasurer's Short-Term Investment Fund (STIF), which is an investment pool for the operating cash of state and local governments, as is consistent with, first, safety of principal and, second, the provision of liquidity.

To prudently invest more stable fund balances for longer periods and higher yields, including in banks that meet standards for financial strength and community support.

To provide responsive services to STIF investors, including municipalities and local entities.

To improve operating efficiency through more use of electronic payments, electronic data interchange (EDI), credit card payments, and automation.

To provide technical assistance and help with banking services to State agencies and others.

Program Description:

The Cash Management Division is responsible for managing the State's cash movements, banking relationships, the Short-Term Investment Fund (STIF), and the Community Reinvestment Initiative (CRI), in which funds are invested in Connecticut banks that meet financial and community reinvestment support standards.

The Bank Control and Reconciliation Unit operates the State's cash accounting system to record and track the State's internal and external cash flow. The unit is also responsible for the reconciliation of 27 Treasury bank accounts with 3.2 million annual transactions, administers stop payments and check reissues, and processes State payroll and vendor checks.

The Cash Control Unit forecasts daily and long-term cash availability, funds disbursement accounts, concentrates cash from depository banks, sweeps idle cash into short-term investment vehicles to maximize investment balances, and executes electronic transfers.

The Short-Term Investments Unit invests STIF assets, monitors custodian activity, and prepares quarterly and annual reports. During fiscal 2000, an average of \$3.6 billion was invested in STIF. The unit also administers 800 STIF accounts for 60 State agencies and authorities and 226 municipal and local entities. In addition, the unit manages the Grant Express program that enables municipalities to deposit certain grant payments directly into their STIF accounts. Finally, the unit provides market data used in negotiating CRI investment interest rates.

The Client Services Unit consults with state agencies on initiatives to speed the deposit of funds, identifies mechanisms to reduce banking costs, reviews requests by State agencies for new bank accounts, maintains records of the State's bank accounts, manages CRI records, and reviews bank invoices and compensation. The unit also manages the insurance collateral program in conjunction with the Department of Insurance through which companies writing insurance policies in the State are required to deposit securities and funds in accounts totaling a fixed percentage of the policies' value. At June 30, 2000, approximately \$450 million in securities were pledged to the program and \$50 million was deposited in STIF.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Reconciled Receipts & Disbursements (\$M)	33,000	34,700	36,400	38,200
Additional STIF Interest Earned Outperforming its Benchmark(\$M)	16.0	16.5	17.0	17.5

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions								
General Fund	16	2	0	18	18	18	18	18
Private Contributions	10	0	0	10	10	10	10	10

Budget-in-Detail

		1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003		
<i>Other Positions Equated to Full Time</i>		<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>		
General Fund		1	1	1	1	1	1		
Financial Summary		1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)		<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services		902,297	1,068,958	1,178,799	1,178,799	1,168,396	1,201,967	1,201,967	1,180,694
Other Expenses		34,539	36,354	35,163	35,163	34,282	36,006	36,006	34,184
<u>Capital Outlay</u>									
Equipment		0	0	10,900	8,000	0	10,900	8,000	0
TOTAL-General Fund		936,836	1,105,312	1,224,862	1,221,962	1,202,678	1,248,873	1,245,973	1,214,878
<u>Additional Funds Available</u>									
Private Contributions		2,727,252	2,815,529	2,890,535	2,890,535	2,890,535	2,976,820	2,976,820	2,976,820
TOTAL-All Funds		3,664,088	3,920,841	4,115,397	4,112,497	4,093,213	4,225,693	4,222,793	4,191,698
Cash Management									

PROGRAM: SECOND INJURY FUND

Statutory Reference:

Chapter 568, Part E; Section 31-349 and 31-354

Statement of Need and Program Objectives:

To provide injured workers who qualify for Second Injury Fund benefits with timely benefit payments and quality medical case management.

To relieve employers from liabilities under the Workers' Compensation Act by providing benefits for certain types of workers' compensation claims.

Program Description:

The Second Injury Fund ("the Fund"), administered by the Office of the Treasurer, is a State-run workers' compensation insurance fund that pays lost wages and medical benefits to qualified injured workers. The Fund manages and has liability for workers' compensation claims which

involve (i) an uninsured employer or an employer who fails to pay the claims, (ii) a pro rata liability for indemnity payments paid to any worker who had more than one employer at the time of injury, (iii) benefits to widows and dependents when the deceased died as a result of a work related injury, and (iv) indemnity payments to injured workers who are permanently and totally disabled.

The Second Injury Fund operations are financed by assessments on Connecticut employers. Insured employers pay a surcharge on their workers' compensation insurance policies based on annual standard premiums. The assessment for self-insured employers is based on workers' compensation loss costs for medical and indemnity benefits incurred in the prior calendar year.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Second Injury Fund Assessments (\$M)	118	110	100	90
Active Payroll Cases	1,079	800	600	400
Open Claims	5,196	4,970	3,880	2,790
Settled Claims	1,453	1,007	345	449
New Claims	428	1,203	220	150
Expenditures (\$M)	193	156	78	103

Personnel Summary

<i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Second Injury Fund	91	0	0	91	91	91	91	91

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
<u>Additional Funds Available</u>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Second Injury Fund	6,922,452	9,146,063	9,241,293	9,241,293	9,241,293	8,401,403	8,401,403	8,401,403
Private Contributions	40,481,722	44,500,000	40,400,000	40,400,000	40,400,000	37,100,000	37,100,000	37,100,000
TOTAL-All Funds	47,404,174	53,646,063	49,641,293	49,641,293	49,641,293	45,501,403	45,501,403	45,501,403
Second Injury Fund								

PROGRAM: UNCLAIMED PROPERTY AND ESCHEATS

Statutory Reference:

C. G. S. Chapter 32, Part III; Section 3-56a through 3-76

Statement of Need and Program Objectives:

To locate and reunite owners with their unclaimed property and to ensure that all unclaimed property as defined by statute is rendered to the state for safeguarding.

To administer Connecticut's unclaimed property and escheats statutes.

To deposit into the General Fund for the use of the state those funds collected in excess of claims paid and certain costs incident to the collection and recovery of such funds and property.

Program Description:

Under Connecticut General Statutes, the Treasurer is custodian for all unclaimed property remitted to the state. A primary activity of the Division is to reunite owners with their property, administered through outreach efforts and advertising of its *Name It and Claim It* program. Another core activity of the Division is its *Holder Outreach* program. Targeted to businesses and organizations, this program promotes compliance with the statutory obligation to report and remit unclaimed property to the State Treasurer's Office by the annual March 31st deadline. The Division encourages a positive relationship between state government and the business community, emphasizing the key role each plays as partners in upholding unclaimed property laws and strengthening consumer protection for the citizens of our state.

The Division administers the statutes and is authorized and required to: Ensure that unclaimed or abandoned property is transferred to the Treasurer; Safeguard all unclaimed property; Examine holder records and maintain permanent files; Insure that all unclaimed property as

defined by statute is rendered to the state for safeguarding; Process claims filed; Conduct audits to ensure holder reporting compliance; Pay rightful owners without deduction for costs incurred; and Pay interest to rightful owners as required.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Unclaimed property claimants paid	7,666	7,700	7,700	7,700
Value-unclaimed property collected (\$M)	32	37	32	32
Unclaimed property holders reporting	5,000	5,000	5,000	5,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions	27	0	0	27	27	27	27	27
Unclaimed Property Fund								

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Additional Funds Available								
Unclaimed Property Fund	2,262,740	2,660,588	2,747,482	2,747,482	2,747,482	2,863,086	2,863,086	2,863,086
TOTAL-All Funds	2,262,740	2,660,588	2,747,482	2,747,482	2,747,482	2,863,086	2,863,086	2,863,086
Unclaimed Property and Escheats								

PROGRAM: MANAGEMENT SERVICES

Statutory Reference:

C.G.S. Chapter 32 and Article Fourth of the State Constitution

Statement of Need and Program Objectives:

To provide support services for Pension Funds Management, Cash Management, Debt Management, Unclaimed Property and the Second Injury Fund; to increase operating efficiencies within the Treasury; and to ensure compliance with state statutes and regulations.

Program Description:

These services include the coordination of short and long range planning and project management services. The Management Services unit also includes the personnel, information services, and business office services activities.

Personnel Services establishes and implements personnel standards and procedures; processes and maintains personnel records; and administers the Treasury's training and employee assistance programs.

Information Services furnishes overall LAN system management and support; maintains all electronic data processing equipment; formulates system standards and controls; and provides analysis, application development, and program support services.

Business Office Services performs the accounting, purchasing, payroll and property requirements of the Treasury; prepares the agency budget; oversees allocation of resources to meet operational requirements and establishes and maintains business control over internal operations of all Treasury divisions.

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Fulltime Positions								
General Fund	11	2	0	13	13	13	13	13
Unclaimed Property Fund	2	0	0	2	2	2	2	2
Second Injury Fund	1	0	0	1	1	1	1	1
Investment Trust Fund	3	0	-1	2	2	2	2	2

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	1	1	1	1	1

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	770,394	921,898	802,401	802,401	795,321	846,285	846,285	831,804
Other Expenses	147,352	154,436	157,586	157,586	154,034	161,386	161,386	154,042
Capital Outlay								
Equipment	0	0	8,175	6,000	0	8,175	6,000	0
TOTAL-General Fund	917,746	1,076,334	968,162	965,987	949,355	1,015,846	1,013,671	985,846
Additional Funds Available								
Unclaimed Property Fund	90,980	247,311	259,440	259,440	259,440	273,900	273,900	273,900
Second Injury Fund	65,843	68,183	72,052	72,052	72,052	70,992	70,992	70,992
Investment Trust Fund	169,309	174,872	182,021	182,021	182,021	192,428	192,428	192,428
Private Contributions	43,401	46,938	48,469	48,469	48,469	49,044	49,044	49,044
TOTAL-All Funds	1,287,279	1,613,638	1,530,144	1,527,969	1,511,337	1,602,210	1,600,035	1,572,210
Management Services								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	2,849,553	3,381,162	3,579,671	3,532,726	3,788,650	3,707,932
Other Positions	22,007	17,600	17,600	17,600	17,600	17,600
Other	43,383	61,341	79,766	79,766	90,465	90,465
Overtime	1,468	0	0	0	0	0
TOTAL-Personal Services Gross	2,916,411	3,460,103	3,677,037	3,630,092	3,896,715	3,815,997
Less Reimbursements						
Less Turnover	0	0	-46,628	-96,628	-50,029	-100,029
Less General Personal Services Reductions	0	0	0	-33,234	0	-53,708
TOTAL-Personal Services Net	2,916,411	3,460,103	3,630,409	3,500,230	3,846,686	3,662,260
<i>Other Expenses-Contractual Services</i>						
Advertising	3,255	3,463	3,542	3,463	3,626	3,463
Printing And Binding	5,287	5,496	5,623	5,496	5,758	5,496
Dues And Subscriptions	15,207	16,171	16,542	16,171	16,938	16,171
Rents, Storage & Leasing	54,524	59,731	61,105	59,731	62,571	59,731
Telecommunication Services	38,553	38,336	36,140	35,258	37,008	35,184
General Repairs	14,528	15,448	15,804	15,448	16,183	15,448
Motor Vehicle Expenses	5,559	5,419	5,544	5,419	5,677	5,419
Fees For Outside Professional Services	78,185	83,136	81,904	79,992	83,888	79,934
Fees For Non-Professional Services	32,527	34,587	35,383	34,587	36,232	34,587
DP Services, Rentals and Maintenance	30,097	32,002	32,738	32,002	33,524	32,002
Postage	6,197	6,098	6,238	6,098	6,388	6,098
Travel	40,474	48,463	44,027	42,913	45,082	42,780
Other Contractual Services	9,402	10,742	10,989	10,742	11,252	10,742
<i>Other Expenses-Commodities</i>						
Books	1,154	1,226	1,253	1,226	1,284	1,226
Maintenance and Motor Vehicle Supplies	710	754	772	754	791	754
Medical Supplies	54	58	59	58	60	58
Office Supplies	46,590	49,540	50,680	49,540	51,896	49,540
Miscellaneous Commodities	6,401	6,806	6,962	6,806	7,129	6,806
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	18,621	19,800	20,255	19,800	20,741	19,800
TOTAL-Other Expenses Gross	407,325	437,276	435,560	425,504	446,028	425,239
Less Reimbursements	0	-8,434	-8,628	-8,628	-8,835	-8,835
TOTAL-Other Expenses Net	407,325	428,842	426,932	416,876	437,193	416,404

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	2,916,411	3,460,103	3,630,409	3,615,781	3,500,230	3,846,686	3,832,058	3,662,260
Other Expenses Net	407,325	428,842	426,932	426,932	416,876	437,193	437,193	416,404
Capital Outlay	0	5,000	32,700	24,000	1,000	32,700	24,000	1,000
TOTAL-General Fund Net	3,323,736	3,893,945	4,090,041	4,066,713	3,918,106	4,316,579	4,293,251	4,079,664
<i>Additional Funds Available</i>								
Unclaimed Property Fund	2,440,243	2,997,712	3,101,317	3,101,317	3,101,317	3,237,078	3,237,078	3,237,078
Special Funds	171,255	177,148	183,078	183,078	183,078	196,059	196,059	196,059
Second Injury Fund	7,066,757	9,346,887	9,451,495	9,451,495	9,451,495	8,614,735	8,614,735	8,614,735
Federal Contributions	14,192	14,518	14,852	14,852	14,852	15,208	15,208	15,208
Investment Trust Fund	47,801,187	50,248,282	51,466,003	51,466,003	51,466,003	52,790,653	52,790,653	52,790,653
Private Contributions	43,724,029	47,362,467	43,339,004	43,339,004	43,339,004	40,125,864	40,125,864	40,125,864
TOTAL-All Funds Net	104,541,399	114,040,959	111,645,790	111,622,462	111,473,855	109,296,176	109,272,848	109,059,261

STATE COMPTROLLER

[HTTP://WWW.OSC.STATE.CT.US/](http://www.osc.state.ct.us/)

AGENCY DESCRIPTION:

The State Comptroller is one of six constitutional state officers to hold office for a term of four years. The Office of the Comptroller was established in 1786 and derives its main authority from Article IV of the State Constitution which states: "The comptroller shall adjust and settle all public accounts and demands, except grants and orders of the general assembly. He shall prescribe the mode of keeping and

rendering all public accounts." The Connecticut General Statutes amplify this language, defining a range of specific responsibilities of the Office of the State Comptroller (OSC). The Office of the Comptroller carries out a variety of functions to fulfill these constitutional and statutory obligations.

AGENCY PROGRAM INDEX

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Budget and Financial Analysis	110	Retirement and Benefit Services	112
Information Technology	111	Accounts Payable	113
Policy Evaluation and Review	111		

RECOMMENDED SIGNIFICANT CHANGES

	2001-2002	2002-2003
Reductions to Current Services		
• Reduce Agency Personal Services	-191,636	-317,371
• Transfer Equipment to CEPF	-3,000	-3,000
• Reduce Inflation and Other Miscellaneous Reductions	-61,348	-126,838
• Continue FY 2001 Allotment Recision	-103,502	-103,502
Within Current Services		
• Increase Funding to Reflect CATER Costs Associated with the State Employee Retirement Database	270,000	270,000
Reallocations or Transfers		
• Provide funding for the State Employee Retirement Database Account through the Other Expenses Account		
Appropriations From FY 2001 Surplus		
• Provide \$2.5 Million for the Core Financial Systems Replacement Project from the FY 2001 Surplus <i>Additional funding requirements of \$50.0 million will be provided through Bond Funds.</i>		

AGENCY PROGRAMS:

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions								
General Fund	230	47	0	277	277	277	277	277
Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management Services	17,182,600	3,316,593	4,716,282	4,379,538	4,324,303	5,035,615	4,671,572	4,587,034
Budget and Financial Analysis	1,908,663	2,027,210	2,027,471	2,091,297	2,070,303	2,116,603	2,187,988	2,161,123
Information Technology	3,371,851	2,963,954	3,071,222	2,985,692	2,939,777	3,189,137	3,109,524	3,036,148
Policy Evaluation and Review	907,839	965,023	1,016,649	1,023,858	1,016,377	1,062,010	1,070,215	1,060,098
Payroll Services	1,500,172	1,578,236	1,637,609	1,624,633	1,609,529	1,725,831	1,706,428	1,682,579
Retirement and Benefit Services	5,548,556	4,718,846	5,186,292	5,358,056	5,306,275	5,484,256	5,624,609	5,553,416
Accounts Payable	1,634,262	1,736,594	1,763,624	1,782,612	1,769,795	1,859,366	1,879,960	1,862,790
TOTAL Agency Programs - All Funds Gross	32,053,943	17,306,456	19,419,149	19,245,686	19,036,359	20,472,818	20,250,296	19,943,188
Less Turnover	0	0	-70,000	-70,000	-70,000	-70,000	-70,000	-70,000
Less General Personal Services Reduction	0	0	0	0	-150,159	0	0	-243,603
TOTAL Agency Programs - All Funds Net	32,053,943	17,306,456	19,349,149	19,175,686	18,816,200	20,402,818	20,180,296	19,629,585
Summary of Funding								
General Fund Net	16,811,561	17,306,456	19,349,149	19,175,686	18,816,200	20,402,818	20,180,296	19,629,585
Special Funds, Non-Appropriated	15,242,382	0	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	32,053,943	17,306,456	19,349,149	19,175,686	18,816,200	20,402,818	20,180,296	19,629,585

PROGRAM: MANAGEMENT SERVICES DIVISION

Statutory Reference:

Article Fourth, State Constitution; CGS Sections 3-112, 3-112a, 3-119, and 3-121 through 3-123e

Statement of Need and Program Objectives:

To provide policy and program direction for the administrative functions of the Office of the State Comptroller.

To develop, implement and execute the agency budget, including miscellaneous appropriations assigned to the Comptroller.

To serve as the administrative services arm of the Office of the Claims Commissioner.

Budget-in-Detail

Program Description:

The Management Services Division is responsible for a broad array of functions as follows:

Prepares, analyzes and monitors OSC's budget and miscellaneous appropriations; Prepares and monitors the budget for the Office of the Claims Commissioner (OCC); Reviews vendor payments made from the operating budgets of the OSC and OCC; Pays refunds of payments, disability and death benefits to state fire and police officers and the dependents of state employees, and grant payments to cities and towns; Provides comprehensive support services for OSC and OCC, including courier, security, facility management, telephone and parking; Administers statewide tuition, travel and training programs. Reviews these programs to ensure conformance to contractual,

regulatory and statutory obligations; Manages the administrative process for adjudicated claims in conjunction with the Office of the Attorney General; Manages a comprehensive Employee Assistance Program; Manages the office's internal and external training programs for staff; Develops and maintains the Affirmative Action Plan for the office; Provides the communication link with staff on agency policy matters; Monitors developments in the General Assembly affecting the agency's budget and other programs under its jurisdiction; Maintains the state's property inventory control records and retains securities on state construction contracts; Administers the state's insurance program for fire, health and liability claims in conjunction with the State Insurance Purchasing Board; and Provides management analysis and review of state employee travel.

Personnel Summary

Permanent Fulltime Positions
General Fund

As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
Filled	Vacant	Change	Total	Requested	Recommended	Requested
33	46	0	79	79	79	79

Financial Summary

(Net of Reimbursements)

1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
2,195,967	2,339,527	3,651,742	3,336,634	3,313,603	3,944,101	3,601,049	3,571,347
824,522	901,859	993,470	971,834	942,630	1,020,444	999,453	947,617
Capital Outlay							
Equipment							
0	0	4,000	4,000	1,000	4,000	4,000	1,000
Other Current Expenses							
Wellness Program							
18,192	47,500	47,500	47,500	47,500	47,500	47,500	47,500
Death Benefits for State Employees							
18,590	0	0	0	0	0	0	0
State Employees Retirement Data Base							
67,314	8,137	0	0	0	0	0	0
Pmts to Other Than Local Governments							
Governmental Accounting Standards Bd							
19,570	19,570	19,570	19,570	19,570	19,570	19,570	19,570
3,144,155	3,316,593	4,716,282	4,379,538	4,324,303	5,035,615	4,671,572	4,587,034
Additional Funds Available							
Special Funds, Non-Appropriated							
14,038,445	0	0	0	0	0	0	0
17,182,600	3,316,593	4,716,282	4,379,538	4,324,303	5,035,615	4,671,572	4,587,034

Management Services

PROGRAM: BUDGET AND FINANCIAL ANALYSIS DIVISION

Statutory Reference:

Article Fourth, State Constitution; and Sections 3-112 and 3-115 of the General Statutes

Statement of Need and Program Objectives:

To record and analyze state expenditures and receipts. To monitor agency spending from appropriated accounts to ensure compliance with established accounting and budgeting procedures. To work with relevant agencies to correct problems when financial reporting discrepancies are discovered.

Program Description:

The Budget and Financial Analysis Division performs the following functions:

Prepares monthly financial statements on the financial position of the state and its funds in accordance with the Generally Accepted Accounting Principles (GAAP) and Connecticut's budget reporting standards and prepares Comptroller's monthly summary letter to the Governor with accompanying analysis; Monitors agency commitments and expenditures through the appropriation accounting process and the initiation and recording of accounts and transactions; Provides detailed financial information for local, state and federal agencies; Maintains and improves a state-of-the-art accounting system for the state's

financial records; Manages the state's encumbrance and expenditure records in accordance with procedures developed with the Administrator of Public Records; Enforces the statutory, regulatory and accounting requirements prescribed by federal and state law; Publishes via Internet, Comptroller's numbered memoranda to agencies, Comptroller's annual employee health care planner, and software policy manual; Monitors weekly negative balance reports to identify and resolve expenditure issues at applicable agencies; Provides research and policy analysis on a range of topics with significant financial impact to the state; e.g., Medicaid managed care, health care access for the uninsured and uncompensated care, and factors affecting local property tax; Prepares Comptroller's Annual Report on Connecticut's Economic Health, the Comprehensive Annual Financial Report (GAAP) basis and the Budgetary Basis (statutory) Financial Report; Prepares the statewide cost allocation plan for the U.S. Department of Health and Human Services; Establishes and negotiates fringe benefit cost recovery rate; Develops the per capita cost rate for state humane institutions and Department of Correction facilities; Calculates billing rates for state institutions for Medicare, Medicaid and other third-party payers; Prepares Medicare and Medicaid cost reports for state institutions, including the settlement of audit adjustments; and Develops and monitors state agencies' indirect cost proposals.

Personnel Summary

Permanent Fulltime Positions
General Fund

As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
Filled	Vacant	Change	Total	Requested	Recommended	Requested
27	0	0	27	27	27	27

Financial Summary

(Net of Reimbursements)

1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended

Personal Services	1,836,938	1,949,842	1,922,205	1,986,031	1,972,319	2,006,816	2,078,183	2,060,499
Other Expenses	71,725	77,368	105,266	105,266	97,984	109,787	109,805	100,624
TOTAL-General Fund	1,908,663	2,027,210	2,027,471	2,091,297	2,070,303	2,116,603	2,187,988	2,161,123

Budget and Financial Analysis**PROGRAM: INFORMATION TECHNOLOGY DIVISION****Statutory Reference:**

Article Fourth, State Constitution and Sections 3-112, 3-113, 3-119, and 3-121 through 3-123c of the General Statutes

Statement of Need and Program Objectives:

To provide information processing support for the office of the State Comptroller through a mainframe computer system, a local area network (LAN) system and a statewide telecommunications network.

Program Description:

The Computer Services Division consists of the Administration, Computer Operations, Technical Support and Personal Computer Support Units. Functions of the division include:

Provides 24-hours, seven-days-a-week computer processing; Maintains a statewide communications network for financial applications; Provides for data integrity and security through internal controls and computer software; Maintains automated data files that allow OSC to produce detailed reports, analyses and financial statements; Provides applications support and operational maintenance; Designs, implements and maintains OSC's Office Automation System; Evaluates and introduces new PC hardware and software for OSC activities; Trains OSC staff in the use of new PC applications; Maintains a data processing disaster recovery plan; and Develops a long-range information technology plan.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Mainframe Computer Availability	99.90%	99.90%	99.90%	99.90%
Local Area Network Availability	99.90%	99.90%	99.90%	99.90%

Personnel Summary

Permanent Fulltime Positions
General Fund

As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003	
<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
32	0	0	32	32	32	32	32

Financial Summary

(Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,854,056	1,968,013	1,980,901	2,026,499	2,012,509	2,077,719	2,125,311	2,107,268
Other Expenses	756,891	903,078	1,025,321	959,193	927,268	1,046,418	984,213	928,880
<u>Capital Outlay</u>								
Equipment	1,000	1,000	0	0	0	0	0	0
<u>Other Current Expenses</u>								
State Employees Retirement Data Base	759,904	91,863	65,000	0	0	65,000	0	0
TOTAL-General Fund	3,371,851	2,963,954	3,071,222	2,985,692	2,939,777	3,189,137	3,109,524	3,036,148

Information Technology**PROGRAM: POLICY EVALUATION AND REVIEW DIVISION****Statutory Reference:**

Article Fourth, State Constitution and CGS Sections 3-112 and 3-115

Statement of Need and Program Objectives:

To provide overall policy and program direction to the work of the Office of the State Comptroller and its subsidiary programs.

To maintain and monitor the state's accounting procedures by reviewing reports of the Auditors of Public Accounts and other auditing agencies, monitoring irregularities and inefficiencies, prescribing accounting methods for state agencies, and establishing policies for maintaining inventory records of state property.

Program Description:

The Policy Evaluation and Review Division is comprised of the Policy Evaluation and Review Unit and the Compliance Unit. This division is responsible for establishing and monitoring accounting and financial policies, as well as the following:

Provides policy direction to the department through regular meetings with division directors and project coordinators; Provides direction to agencies through audit reviews, special studies and investigations of state agencies and functions; Develops new programs and projects, initially managing them in close contact with the relevant divisions and agencies; Monitors developments in the General Assembly affecting the OSC; Develops and promulgates complex accounting systems and procedures to maximize accountability, standardization and cost effectiveness; Monitors agency compliance with these systems and procedures; Reviews reports of the Auditors of Public Accounts to ensure agency compliance with auditing recommendations; Conducts independent audits each year to supplement the work of the Auditors of Public Accounts; and Establishes procedures for state property inventory control records (including software management), activity and welfare funds, internal control and bank account establishment.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Percentage of Agencies Visited	50%	60%	47%	58%
Number of Audits Completed	52	83	50	60
Dollar Value of Savings Resulting From Audits	434,190	908,610	1,050,000	1,200,000

Budget-in-Detail

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	13	0	0	13	13	13	13	13
Financial Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	884,421	938,780	982,153	996,279	989,401	1,026,686	1,041,992	1,033,122
Other Expenses	23,418	26,243	34,496	27,579	26,976	35,324	28,223	26,976
TOTAL-General Fund	907,839	965,023	1,016,649	1,023,858	1,016,377	1,062,010	1,070,215	1,060,098

Policy Evaluation and Review

PROGRAM: PAYROLL SERVICES DIVISION

Statutory Reference:

Article Fourth, State Constitution and Sections 3-112, 3-119, 5-260, 5-261 and 5-262 of the General Statutes

Statement of Need and Program Objectives:

To pay all state employees, handle all payroll deductions, maintain records on payroll taxes, and deposit federal and state income tax withholding and social security contributions.

To pre-audit and issue state employee reports, maintain wage execution records, and administer savings bonds and direct deposit programs.

Program Description:

The Payroll Services Division is responsible for many functions including the following:

Pre-audits and issues approximately 70,000 employee paychecks on a bi-weekly basis. Of this number, approximately 45% are direct deposit. This equals over 1.8 million transactions per year; and Processes vendor payments to the 700 vendors that provide service to the state employees. This equals over 18,000 transactions per year.

In Fiscal Year 1995-96, the division processed a total of 4,824 payroll distributions which produced 702,345 direct deposit transactions and 1,158,792 payroll checks for an average of 72,232 employee checks and direct deposits issued each bi-weekly payroll cycle.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Number of Payroll Checks	1,815,720	1,938,968	1,997,137	2,057,051
Percentage of Checks on Direct Deposit	54%	63%	65%	67%
Percentage of Checks Cut On Time	100%	100%	100%	100%

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	22	0	0	22	22	22	22	22
Financial Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,275,614	1,354,017	1,358,877	1,373,120	1,363,633	1,433,257	1,448,710	1,436,475
Other Expenses	224,558	224,219	278,732	251,513	245,896	292,574	257,718	246,104
TOTAL-General Fund	1,500,172	1,578,236	1,637,609	1,624,633	1,609,529	1,725,831	1,706,428	1,682,579

Payroll Services

PROGRAM: RETIREMENT AND BENEFIT SERVICES DIVISION

Statutory Reference:

Article Fourth, State Constitution and C.G.S. Sections 3-119, 3-123a, 5-257, 5-259, 5-259b, 5-259c, 5-264 and 5-264a

Statement of Need and Program Objectives:

To administer and maintain the records and accounts of the State Employees' Retirement System and other state pension plans except the Teachers' Retirement System.

To administer State employee benefits and the State deferred compensation plan.

Program Description:

As the agent of the State Employees Retirement Commission, the Retirement and Benefit Services Division administers all state pension plans except the Teachers' Retirement System, providing a comprehensive package of services ranging from pre-retirement counseling to post-mortem accounting.

The division also administers state employee benefits and manages the state deferred compensation plan. In addition, the division is

responsible for providing staff support to the Health Care Cost Containment Committee and administers continuation coverage (COBRA) for terminated employees and/or their dependents.

The division also performs the following:

Provides counseling services to members of the pension plans it administers; Manages computer, accounting, investigatory, payroll, training, recordkeeping and compliance activities attendant to the state's complex retirement programs; Analyzes and implements statutory, collectively-bargained and federally-mandated revisions to the pension plans within its jurisdiction; Plans and develops new products and services, and conducts, as part of this effort, research and analysis of retirement conditions and trends; Provides direction for plan design, benefit administration and interpretation, and policy for all state insurance benefits, including medical, surgical, hospital and life insurance; and Negotiates with providers to supply insurance, monitors providers, and monitors utilization and costs.

Personnel Summary <i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	74	1	0	75	75	75	75	75

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,980,017	4,310,318	4,490,590	4,690,131	4,657,747	4,731,234	4,940,172	4,898,408
Other Expenses	364,602	408,528	695,702	667,925	648,528	753,022	684,437	655,008
TOTAL-General Fund	4,344,619	4,718,846	5,186,292	5,358,056	5,306,275	5,484,256	5,624,609	5,553,416

Additional Funds Available	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Special Funds, Non-Appropriated	1,203,937	0	0	0	0	0	0	0
TOTAL-All Funds	5,548,556	4,718,846	5,186,292	5,358,056	5,306,275	5,484,256	5,624,609	5,553,416

Retirement and Benefit Services

PROGRAM: ACCOUNTS PAYABLE DIVISION

Statutory Reference:

Article Fourth, State Constitution and Sections 3-112, 3-113 and 3-117 of the General Statutes

Statement of Need and Program Objectives:

To provide and maintain an integrated, state-of-the-art central accounting system for the state's accounts payable and audit vendor systems.

To approve the decentralization of expenditure audit and payment authorization in order to reduce processing costs and earn discounts for timely payments.

Program Description:

The Accounts Payable Division performs the following functions:

Approves the state's assumption of an obligation and the reservation of funds against an agency appropriation; Approves the decentralization of expenditure audit and payment authorization to reduce processing

costs and earn discounts for timely payments; Provides detailed financial information for local, state and federal agencies; Performs a detailed post audit of expenditures approved by state departments; Manages the state's encumbrance and expenditure records in accordance with procedures developed with the Administrator of Public Records; Enforces the statutory, regulatory and accounting requirements prescribed by federal and state law; Maintains a statutory grant program for payments to municipalities, including cash management control, town payment reports and reconciliation of municipal payments with the towns' independent auditors; Processes vendor payments to 74,800 vendors who provide goods and/or services to the state; Controls priority and special handling payments, such as tax-exempt bond funds, electronic fund transfers and land condemnations; Maintains a vendor offset system for recovering delinquent state taxes, IRS garnishments and court order judgments; and Coordinates all other special processing requests based on state law, federal law and OSC policy guidelines.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Number of Checks Cut	587,902	573,000	554,000	536,000
Percentage of Transactions Using Electronic Funds Transfer	1%	4%	7%	10%
Dollar Value of Accounts Payable	\$7.3 billion	\$7.5 billion	\$7.7 billion	\$7.9 billion

Personnel Summary <i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	29	0	0	29	29	29	29	29

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,602,327	1,700,811	1,718,354	1,737,992	1,725,997	1,811,721	1,832,981	1,817,511
Other Expenses	31,935	35,783	45,270	44,620	43,798	47,645	46,979	45,279
TOTAL-General Fund	1,634,262	1,736,594	1,763,624	1,782,612	1,769,795	1,859,366	1,879,960	1,862,790

Accounts Payable

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Personal Services						
Permanent Fulltime Positions	12,936,334	13,791,269	15,626,822	15,503,459	16,499,534	16,343,880
Other Positions	343,434	381,749	143,000	143,000	162,000	162,000
Other	229,575	252,301	240,000	228,750	275,000	258,750
Overtime	119,997	135,989	95,000	160,000	95,000	160,000
TOTAL-Personal Services Gross	13,629,340	14,561,308	16,104,822	16,035,209	17,031,534	16,924,630
Less Reimbursements						
Less Turnover	0	0	-70,000	-70,000	-70,000	-70,000
Less General Personal Services Reductions	0	0	0	-150,159	0	-243,603
TOTAL-Personal Services Net	13,629,340	14,561,308	16,034,822	15,815,050	16,961,534	16,611,027
Other Expenses-Contractual Services						
Advertising	6,959	7,797	7,977	7,797	8,168	7,797
Printing And Binding	63,378	68,015	76,199	74,861	77,130	72,921

Budget-in-Detail

Dues And Subscriptions	20,504	22,975	23,503	22,975	24,066	22,975
Rents, Storage & Leasing	54,050	60,561	65,624	64,232	67,463	64,583
Telecommunication Services	93,151	102,374	121,500	116,145	126,000	118,132
General Repairs	100,529	112,640	115,231	112,640	117,997	112,640
Motor Vehicle Expenses	11,606	13,004	13,303	13,004	13,622	13,004
Fees For Outside Professional Services	248,903	278,891	321,826	307,537	347,027	312,001
Fees For Non-Professional Services	10,105	11,321	11,581	11,321	11,859	11,321
DP Services, Rentals and Maintenance	893,768	1,029,052	1,487,233	1,323,242	1,551,139	1,331,334
Postage	407,051	436,092	473,582	438,092	487,780	441,092
Travel	21,599	24,204	33,061	24,204	33,771	24,204
Other Contractual Services	8,253	9,246	9,460	9,246	9,689	9,246
<u>Other Expenses-Commodities</u>						
Books	1,579	1,769	1,810	1,769	1,853	1,769
Maintenance and Motor Vehicle Supplies	1,847	2,070	2,118	2,070	2,169	2,070
Office Supplies	287,767	322,439	337,905	329,317	347,304	330,771
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	66,602	74,628	76,344	74,628	78,177	74,628
TOTAL-Other Expenses Gross	2,297,651	2,577,078	3,178,257	2,933,080	3,305,214	2,950,488
Less Reimbursements						
TOTAL-Other Expenses Net	2,297,651	2,577,078	3,178,257	2,933,080	3,305,214	2,950,488
<u>Other Current Expenses</u>						
Wellness Program	18,192	47,500	47,500	47,500	47,500	47,500
Death Benefits for State Employees	18,590	0	0	0	0	0
State Employees Retirement Data Base	827,218	100,000	65,000	0	65,000	0
TOTAL-Other Current Expenses	864,000	147,500	112,500	47,500	112,500	47,500
<u>Pmts to Other Than Local Govts</u>						
Governmental Accounting Standards Bd	19,570	19,570	19,570	19,570	19,570	19,570
TOTAL-Pmts to Other Than Local Govts	19,570	19,570	19,570	19,570	19,570	19,570

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	13,629,340	14,561,308	16,034,822	16,076,686	15,815,050	16,961,534	16,998,398	16,611,027
Other Expenses Net	2,297,651	2,577,078	3,178,257	3,027,930	2,933,080	3,305,214	3,110,828	2,950,488
Capital Outlay	1,000	1,000	4,000	4,000	1,000	4,000	4,000	1,000
Other Current Expenses	864,000	147,500	112,500	47,500	47,500	112,500	47,500	47,500
Pmts to Other Than Local Governments	19,570	19,570	19,570	19,570	19,570	19,570	19,570	19,570
TOTAL-General Fund Net	16,811,561	17,306,456	19,349,149	19,175,686	18,816,200	20,402,818	20,180,296	19,629,585
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	15,242,382	0	0	0	0	0	0	0
TOTAL-All Funds Net	32,053,943	17,306,456	19,349,149	19,175,686	18,816,200	20,402,818	20,180,296	19,629,585

DEPARTMENT OF REVENUE SERVICES

[HTTP://WWW.DRS.STATE.CT.US/](http://www.drs.state.ct.us/)

AGENCY DESCRIPTION:

The Department of Revenue Services ascertains the correctness of state taxes paid and insures compliance with the tax laws and regulations of the State of Connecticut. It also researches and estimates the effects of various taxing options proposed by policy makers. The agency is organized into four programs designed to accomplish these objectives:

Management Services consists of the department's administration, information, appellate and legal functions which provide technical, legal, taxpayer information, assistance and support services to the entire department and the general public.

Operations consists of two functions: operations and information services. This program internally accounts for all tax documents and payments and serves the data processing and records management needs of the agency.

Audit administers audit compliance and administrative programs for Connecticut taxes.

Collection and Enforcement assures that all tax, penalty and interest due the state are paid.

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Operations Division	117	Collection and Enforcement	119

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	2001-2002	2002-2003
• Reduce Agency Personal Services	-506,747	-802,908
• Transfer Equipment to CEPF	-556,260	-386,000
• Reduce Inflation and Other Miscellaneous Reductions	-234,439	-462,988
• Eliminate 1 Vacant Tax Attorney Position	-77,361	-77,361
• Implement the Tax Credit Exchange as a Refund of Taxes <i>PA 99-173 permits companies with less than \$70.0 million in sales to exchange their unused Research and Development corporate tax credits with the state at 65% of their value.</i>	-14,000,000	-14,000,000

Reallocations or Transfers

- Offset Federal Income Tax Refund when a State Income Tax Debt is Owed
Reallocate \$45,000 from the Collection and Litigation Contingency account and \$148,000 from recommended Other Expense and Equipment accounts to establish an information exchange with the Federal Government. This system is expected to produce additional revenues of \$4.0 million per year.
- Data Enter Partnership Returns
Reallocate \$40,000 to electronically scan schedules for nonresident partners who have not filed the appropriate Connecticut Income Tax returns. An increase of approximately \$1.4 million per year in increased revenues is anticipated.
- Develop an Audit Selection Program to Identify Liquor Retailers Who Fail to Report Their Sales and Use Tax Obligations Accurately
Reallocate \$48,000 from recommended Other Expense and Equipment accounts for one-time computer equipment and software to more readily identify taxpayers suspected of underreporting Sales Taxes. This system is expected to produce additional revenues of \$2.4 million per year.

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	804	29	0	833	833	832	833	832

Agency Programs by Total Funds

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management Services	151,480,791	10,553,768	11,969,358	11,757,953	11,342,829	12,368,644	11,970,093	11,706,632
Operations								
Operations Division	13,206,186	12,935,219	29,082,788	28,448,854	14,339,819	29,753,092	29,100,700	14,954,128
Information Services Division	6,155,439	6,494,381	7,163,918	6,938,149	6,784,971	7,374,128	7,270,467	7,011,262
TOTAL Program	19,361,625	19,429,600	36,246,706	35,387,003	21,124,790	37,127,220	36,371,167	21,965,390
Audit	19,506,945	20,625,062	23,063,472	23,048,360	22,903,391	24,006,108	23,960,192	23,717,629
Collection and Enforcement	6,700,864	7,086,688	7,695,094	7,586,801	7,517,151	7,941,455	7,833,655	7,790,683
TOTAL Agency Programs - All Funds Gross	197,050,225	57,695,118	78,974,630	77,780,117	62,888,161	81,443,427	80,135,107	65,180,334
Less Turnover	0	0	-834,760	-834,760	-834,760	-859,802	-859,802	-859,802
Less General Personal Services Reduction	0	0	0	0	-482,851	0	0	-774,484
TOTAL Agency Programs - All Funds Net	197,050,225	57,695,118	78,139,870	76,945,357	61,570,550	80,583,625	79,275,305	63,546,048
<u>Summary of Funding</u>								
General Fund Net	171,072,554	57,695,118	78,139,870	76,945,357	61,570,550	80,583,625	79,275,305	63,546,048

Budget-in-Detail

Special Funds, Non-Appropriated	25,660,803	0	0	0	0	0	0	0
Federal Contributions	293,070	0	0	0	0	0	0	0
Private Contributions	23,798	0	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	197,050,225	57,695,118	78,139,870	76,945,357	61,570,550	80,583,625	79,275,305	63,546,048

PROGRAM: MANAGEMENT SERVICES

Statutory Reference:

C.G.S. Title 12

Statement of Need and Program Objectives:

To set department policy and direction; To allocate, manage, and monitor programs and resources; To provide support services and legal and research assistance within the department and to legislators, the Governor's office and the public.

Program Description:

The Executive Office sets departmental policy and direction; oversees legislative activities and legislatively mandated programs; determines public relations policy; and handles relations with the Governor's office, legislature, and taxpayers. It administers the department's taxpayer records confidentiality and internal audit programs.

The Legal Division serves as an in-house legal counsel to the department. The division is responsible for drafting regulations and legislation, issuing rulings to taxpayers and tax practitioners, on all Connecticut taxes, consulting and advising the Office of the Attorney General on issues relating to the litigation of tax appeals, issuing legal opinions to the commissioner and other department officials on the proper interpretation of Connecticut tax statutes, reviewing issues of tax policy and representing the commissioner in all succession tax litigation.

The Taxpayer Services Division promotes voluntary taxpayer compliance through public information, taxpayer education, and assistance activities. Assistance activities include responding to taxpayer inquiries received by telephone, letter, in person and by e-mail. Employee's assist in completing State applications, returns and offer preparation and electronic filing of Federal and State income tax returns. The division provides speakers about state taxes to organizations and businesses. It offers workshops to new business owners throughout the state. The division is also responsible for responding to requests from taxpayers and other state agencies for

copies of taxpayers' tax returns and other confidential information and for administering exemption programs for farmers, fishermen, and nonprofit organizations. The division maintains and updates the Department's internet site.

The Research Unit analyzes, prepares and disseminates the statistics generated by the Department, including preparation of the Annual Report and statistical overview of the Income Tax. The unit acts as liaison with the Connecticut General Assembly and is responsible for the submission of the Department's legislative package as well as working with the various committees of cognizance to facilitate other legislative initiatives. In addition, the unit coordinates the disbursement of funds to the Connecticut Tourism Districts, administers the Neighborhood Assistance Act Tax Credit Program, and responds to requests for information from other states as well as Connecticut's legislative and executive branches of government.

The Appellate Division receives, acknowledges and reviews all taxpayer protests (after final billing) of audit assessments and of corporate officer and successor liability impositions. It also reviews taxpayer protests of proposed disallowance of claims for refund. This division conducts hearings of appeals and is the final administrative adjudicator of the issues presented. It works closely with taxpayers, their legal and accounting representatives, other divisions of the department, and the Office of the Attorney General.

The Administrative Services staff prepares and administers the agency budget, controls and monitors expenses, and assists top management in strategic planning. It also oversees all procurement, printing, budgetary, accounting and facilities management for the agency. Its Education Unit establishes, implements and evaluates personnel training and educational programs to help support management effectiveness, technical expertise and personal development of agency employees. The Personnel and Payroll units administer the rules, regulations, contracts and directives concerning state employment and recruit the staff for the agency.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Taxpayer Inquiries *	303,530	269,455	269,455	269,455
Training programs/Individuals trained	85/1,395	175/2,497	175/2,497	175/2,497
Appeals Hearings	785	725	750	750
Taxpayer Appeals - Received/Resolved	1,376/1,217	1,400/1,215	1,400/1,225	1,425/1,225
Dollar resolved/yr (\$000)	80000	100,000	110,000	115,000
Percentage of cases resolved that do not require litigation (%)	94%	94%	94%	94%
Taxpayer rulings issued within 120 days of receipt of a sufficiently completed ruling request (%)	117	100	100	100

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	116	6	0	122	122	121	122	121

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	6,823,877	7,129,344	8,266,298	7,999,393	7,918,405	8,638,693	8,363,892	8,282,208
Other Expenses	2,846,463	3,423,424	3,497,560	3,497,560	3,423,424	3,576,701	3,576,701	3,423,424
<u>Capital Outlay</u>								
Equipment	0	1,000	205,500	261,000	1,000	153,250	29,500	1,000
<u>Other Current Expenses</u>								
Tax Rebate Administration	3,914	0	0	0	0	0	0	0
Tax Rebate Program	116,161,172	0	0	0	0	0	0	0
TOTAL-General Fund	125,835,426	10,553,768	11,969,358	11,757,953	11,342,829	12,368,644	11,970,093	11,706,632
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	25,639,709	0	0	0	0	0	0	0
Private Contributions	5,656	0	0	0	0	0	0	0
TOTAL-All Funds	151,480,791	10,553,768	11,969,358	11,757,953	11,342,829	12,368,644	11,970,093	11,706,632

Management Services

PROGRAM: OPERATIONS

Statutory Reference:

C.G.S. Title 12

Statement of Need and Program Objectives:

To process and deposit revenues from 40 different state taxes in a timely manner and to administer and maintain the agency's Information Services System.

Program Description:

This program is made up of two subprograms: the Operations Division and the Information Services Division that support the program's objectives.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Tax Returns processed/year (000)	5,300	5,500	5,600	5,700
Permits/decals issued (000)*	60	61	61	62
Refunds processed	1,061,000	1,225,000	1,237,000	1,237,000
Payments on billings	293,000	297,000	303,000	303,000
Amount of payments on billings (\$000)	345,000	350,000	355,000	360,000
Tax return errors resolved within quarterly filing cycle (%)	90	90	90	90
Tax refunds issued without interest expense (%)	99	99.1	99.2	99.3
New systems designed/implemented	11	7	7	7

Personnel Summary

Permanent Fulltime Positions

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	275	11	0	286	286	286	286	286

Financial Summary

(Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	13,895,960	14,416,729	16,745,689	16,097,580	16,090,210	17,588,062	16,920,509	16,911,680
Other Expenses	4,577,316	5,012,871	5,155,313	5,155,313	5,034,580	5,281,158	5,281,158	5,053,710
Capital Outlay	0	0	345,704	134,110	0	258,000	169,500	0
Other Current Expenses	849,113	0	14,000,000	14,000,000	0	14,000,000	14,000,000	0
TOTAL-General Fund	19,322,389	19,429,600	36,246,706	35,387,003	21,124,790	37,127,220	36,371,167	21,965,390
Additional Funds Available								
Special Funds, Non-Appropriated	21,094	0	0	0	0	0	0	0
Private Contributions	18,142	0	0	0	0	0	0	0
TOTAL-All Funds	19,361,625	19,429,600	36,246,706	35,387,003	21,124,790	37,127,220	36,371,167	21,965,390

Operations

SUBPROGRAM: OPERATIONS DIVISION

Statutory Reference:

C.G.S. Title 12

Statement of Need and Program Objectives:

To rapidly process and deposit all state tax revenues which finance the operations of the entire state government.

Program Description:

Annually, more than \$9 billion from more than 40 different tax sources are deposited on the day of receipt. The processing of 5.5 million tax returns involves the following key activities:

Registering taxpayers and issuing tax registration numbers, permits, licenses and motor carrier tax decals; Processing incoming tax returns and payments and depositing revenues on day of receipt; Verifying tax returns and creating bills and delinquencies to ensure collection of all revenues due to the state; Verifying the timely issuance of any refunds; Generating various reports on tax collection revenues; Developing tax forms and publications; and Entering data and controlling all types of tax returns, corrections, registrations and accounts receivable batches.

Financial Summary

(Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	10,807,266	11,203,027	13,223,617	12,591,683	12,585,918	13,838,870	13,187,978	13,181,097
Other Expenses	1,634,314	1,732,192	1,797,471	1,797,471	1,753,901	1,841,222	1,841,222	1,773,031
Capital Outlay								
Equipment	0	0	61,700	59,700	0	73,000	71,500	0
Other Current Expenses								
Tax Rebate Administration	133,502	0	0	0	0	0	0	0
Tax Rebate Program	592,872	0	0	0	0	0	0	0
Tax Credit Exchange	0	0	14,000,000	14,000,000	0	14,000,000	14,000,000	0
TOTAL-General Fund	13,167,954	12,935,219	29,082,788	28,448,854	14,339,819	29,753,092	29,100,700	14,954,128
Additional Funds Available								
Special Funds, Non-Appropriated	20,090	0	0	0	0	0	0	0
Private Contributions	18,142	0	0	0	0	0	0	0
TOTAL-All Funds	13,206,186	12,935,219	29,082,788	28,448,854	14,339,819	29,753,092	29,100,700	14,954,128

Operations Division

Budget-in-Detail

subprogram: Information Services Division

Statutory Reference:

C.G.S. Title 12

Statement of Need and Program Objectives

To effectively support the department in the efficient and cost effective administration of taxes through the use of technology.

To further develop and maintain all agency Information Systems and supporting technology.

To enhance the capacity of other agency programs to secure additional tax revenue by supplying vital information through a management information system.

Program Description:

All divisions of the agency depend on the Information Services Division for: Systems design, development and implementation; Data communications network; Technical support for data processing, office automation, word processing and personal computers; Technological Training; Equipment evaluation, acquisition and maintenance; and Storage and retrieval of records.

Financial Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,088,694	3,213,702	3,522,072	3,505,897	3,504,292	3,749,192	3,732,531	3,730,583
Other Expenses	2,943,002	3,280,679	3,357,842	3,357,842	3,280,679	3,439,936	3,439,936	3,280,679
Capital Outlay								
Equipment	0	0	284,004	74,410	0	185,000	98,000	0
Other Current Expenses								
Tax Rebate Administration	210	0	0	0	0	0	0	0
Tax Rebate Program	122,529	0	0	0	0	0	0	0
TOTAL-General Fund	6,154,435	6,494,381	7,163,918	6,938,149	6,784,971	7,374,128	7,270,467	7,011,262
Additional Funds Available								
Special Funds, Non-Appropriated	1,004	0	0	0	0	0	0	0
TOTAL-All Funds	6,155,439	6,494,381	7,163,918	6,938,149	6,784,971	7,374,128	7,270,467	7,011,262

Information Services Division

PROGRAM: AUDIT

Statutory Reference:

C.G.S. Title 12 and Chapters 216, 217 and 218

Statement of Need and Program Objectives:

To determine the accuracy of tax reporting through a comprehensive field and office audit of targeted accounts in order to maximize tax revenue and induce compliance among the entire taxpayer population.

Program Description:

The Audit Division is organized to administer audit programs for approximately 40 state taxes. The division performs the following functions:

Performs field audits of Connecticut and out-of-state based taxpayers to determine, by independent verification, the extent of their tax obligation to the state. The division operates seven field audit units and conducts more than 4,700 field audits annually resulting in more than \$165 million in assessments.

Conducts office audits of Connecticut and out-of-state based taxpayers to determine the extent of their tax obligation to the state. The division conducts more than 77,000 office audits annually resulting in more than \$120 million in assessments.

Develops computer and manual audit selection programs that analyze the total population of tax returns to determine the most eligible candidates for audit and maintains automated and centralized control programs to develop pertinent audit and statistical information.

Directs agency, interagency and interstate compliance programs that include liaison and reciprocal agreements with the federal government, other state governments, other Connecticut agencies and private organizations.

Assists taxpayers in the preparation of tax returns and the maintenance of related tax records. Reviews, verifies and processes claims for tax refunds and credits.

Conducts a discovery program for investigations, special projects, and analysis of tax specific and industry specific issues.

Monitors internal activities to review and evaluate the division's compliance with established policies, procedures and performance standards. Develops and administers an EDP Audit Program and administers all aspects of Inheritance taxation.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Field Audit Assessments (\$000)	165,057	146,000	138,700	134,320
Office Audit Assessments (\$000)	142,590	127,113	120,757	116,943
Field Audits Conducted (#)	4,781	4,238	4,400	4,675
Office Audit Cases Conducted (#)	80,837	78,306	79,350	80,225
Total refunds (#)	1,560	1,500	1,400	1,300
Total refunds (\$000)	14,432	14,400	13,000	12,000
Assessments per Field Audit (\$)	34,523	34,450	31,523	28,730
Assessments per Office Audit (\$)	1,764	1,623	1,522	1,458

Personnel Summary

	As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003	
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	310	9	0	319	319	319	319	319

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	18,235,568	19,257,458	21,589,146	21,563,984	21,554,112	22,405,944	22,380,028	22,368,350
Other Expenses	1,250,096	1,349,279	1,379,476	1,379,476	1,349,279	1,412,164	1,412,164	1,349,279

Capital Outlay

Equipment	0	0	94,850	104,900	0	188,000	168,000	0
<u>Other Current Expenses</u>								
Collection & Litigation Contingency Fd	9,300	18,325	0	0	0	0	0	0
TOTAL-General Fund	19,494,964	20,625,062	23,063,472	23,048,360	22,903,391	24,006,108	23,960,192	23,717,629
<u>Additional Funds Available</u>								
Federal Contributions								
20205 Highway Planning & Construction	11,981	0	0	0	0	0	0	0
TOTAL-All Funds	19,506,945	20,625,062	23,063,472	23,048,360	22,903,391	24,006,108	23,960,192	23,717,629

Audit

PROGRAM: COLLECTION AND ENFORCEMENT

Statutory Reference:

C.G.S. Title 12

Statement of Need and Program Objectives:

To ensure the collection of overdue state taxes and enforce compliance by those who do not voluntarily pay taxes through an efficient, comprehensive, and highly visible collection and enforcement program.

Program Description:

Through a progression of specific collection, compliance and enforcement procedures, 100 employees collect more than \$100,000,000 in overdue revenue annually.

The office collection agents conduct the first level of the collection process. The agents are primarily responsible for initiating telephone contact to resolve overdue accounts prior to referring cases to the next level. Upon identification, chronic debtors or high-risk cases are immediately referred for enforcement action. Additionally, more than 350,000 overdue notices are mailed annually. The agents respond to

inquiries, complaints and requests for repayment schedules initiated by the taxpayer in response to those mailings.

Each year approximately 10,000 overdue accounts are referred to the next level in the collection process. This would include collection of tax warrants, permit suspension hearings, imposition of security bonds, and filing of tax liens and bankruptcy proofs of claims. The division's compliance/enforcement efforts begin at this level. These efforts include on-site investigations of citizen complaints pertaining to tax violations; routine inspections of problematic vendors; and follow-up of leads gained through audit examinations, other state regulatory agencies, and advertisements. These civil-related matters are performed by revenue agents assigned to the Field Section.

The last level in this process involves criminal matters. Criminal investigations are referred to enforcement agents in the Special Investigation Section. Their activities may lead to arrests in cases involving operating without valid permits, bad checks, refusal to file/pay or filing of fraudulent returns, and smuggling of contraband fuel, cigarettes, and alcohol.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Revenue collected (\$000)	124,334	116,000	112,000	110,000
Tax debtor contacts	254,848	250,000	250,000	250,000
Field inspections	43,514	40,000	40,000	40,000
New Registrants	5,655	5,100	4,600	4,200
Criminal investigations opened	858	650	600	600
Arrests	126	110	100	100
Tax Warrants	12,197	11,000	11,000	11,000
Permit Suspension Hearings	745	1,200	1,500	1,500
Percentage of overdue taxpayers to known taxpayer base (%)	0.0978%	1.00%	1.00%	1.00%

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	103	3	0	106	106	106	106	106

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	5,791,978	6,197,607	6,698,015	6,612,772	6,609,745	6,974,671	6,886,871	6,883,277
Other Expenses	383,351	407,406	416,779	416,779	452,406	426,784	426,784	452,406
<u>Capital Outlay</u>								
Equipment	0	0	80,300	57,250	0	40,000	20,000	0
<u>Other Current Expenses</u>								
Collection & Litigation Contingency Fd	244,446	481,675	500,000	500,000	455,000	500,000	500,000	455,000
TOTAL-General Fund	6,419,775	7,086,688	7,695,094	7,586,801	7,517,151	7,941,455	7,833,655	7,790,683
<u>Additional Funds Available</u>								
Federal Contributions								
20205 Highway Planning & Construction	2,242	0	0	0	0	0	0	0
99125 Other Federal Assistance	278,847	0	0	0	0	0	0	0
TOTAL-All Funds	6,700,864	7,086,688	7,695,094	7,586,801	7,517,151	7,941,455	7,833,655	7,790,683

Collection and Enforcement

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	41,782,808	43,783,888	49,986,721	49,881,760	52,190,767	52,081,278
Other Positions	1,813,320	1,858,192	1,913,939	979,867	1,971,355	1,009,263
Other	746,978	940,893	967,777	967,777	1,001,614	1,001,614
Overtime	404,277	418,165	430,711	343,068	443,634	353,360
TOTAL-Personal Services Gross	44,747,383	47,001,138	53,299,148	52,172,472	55,607,370	54,445,515
Less Reimbursements						
Less Turnover	0	0	-834,760	-834,760	-859,802	-859,802
Less General Personal Services Reductions	0	0	0	-482,851	0	-774,484
TOTAL-Personal Services Net	44,747,383	47,001,138	52,464,388	50,854,861	54,747,568	52,811,229
<i>Other Expenses-Contractual Services</i>						
Advertising	65,400	69,522	71,121	69,522	72,828	69,522
Printing And Binding	1,013,196	1,035,490	1,059,306	1,035,490	1,084,729	1,035,490
Dues And Subscriptions	116,908	124,559	127,424	124,559	130,483	124,559
Utility Services	13,435	13,904	13,387	13,904	13,290	13,904
Rents, Storage & Leasing	221,516	236,568	242,008	236,568	247,817	236,568
Telecommunication Services	569,568	607,352	621,321	607,352	636,232	607,352
General Repairs	243,964	246,950	252,630	246,950	258,693	246,950
Motor Vehicle Expenses	117,466	126,526	129,436	126,526	132,543	126,526
Fees For Outside Professional Services	384,459	642,259	679,579	663,968	693,210	683,098
Fees For Non-Professional Services	4,671	4,828	4,939	4,828	5,057	4,828
DP Services, Rentals and Maintenance	2,831,726	3,184,032	3,257,265	3,184,032	3,335,439	3,184,032
Postage	1,692,368	1,885,816	1,929,190	1,930,816	1,975,490	1,930,816
Travel	820,171	874,818	894,938	874,818	916,416	874,818
Other Contractual Services	107,200	124,903	127,774	124,903	130,839	124,903
<i>Other Expenses-Commodities</i>						
Books	8,172	8,690	8,890	8,690	9,104	8,690
Maintenance and Motor Vehicle Supplies	28,324	29,933	30,622	29,933	31,357	29,933
Office Supplies	660,316	737,009	753,961	737,009	772,056	737,009
Miscellaneous Commodities	100,829	101,821	104,162	101,821	106,661	101,821
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	57,537	138,000	141,175	138,000	144,563	138,000
TOTAL-Other Expenses Gross	9,057,226	10,192,980	10,449,128	10,259,689	10,696,807	10,278,819
Less Reimbursements						
TOTAL-Other Expenses Net	9,057,226	10,192,980	10,449,128	10,259,689	10,696,807	10,278,819
<i>Other Current Expenses</i>						
Collection & Litigation Contingency Fd	253,746	500,000	500,000	455,000	500,000	455,000
Tax Rebate Administration	137,626	0	0	0	0	0
Tax Rebate Program	116,876,573	0	0	0	0	0
Tax Credit Exchange	0	0	14,000,000	0	14,000,000	0
TOTAL-Other Current Expenses	117,267,945	500,000	14,500,000	455,000	14,500,000	455,000

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	44,747,383	47,001,138	52,464,388	51,438,969	50,854,861	54,747,568	53,691,498	52,811,229
Other Expenses Net	9,057,226	10,192,980	10,449,128	10,449,128	10,259,689	10,696,807	10,696,807	10,278,819
Capital Outlay	0	1,000	726,354	557,260	1,000	639,250	387,000	1,000
Other Current Expenses	117,267,945	500,000	14,500,000	14,500,000	455,000	14,500,000	14,500,000	455,000
TOTAL-General Fund Net	171,072,554	57,695,118	78,139,870	76,945,357	61,570,550	80,583,625	79,275,305	63,546,048
<i>Additional Funds Available</i>								
Special Funds, Non-Appropriated	25,660,803	0	0	0	0	0	0	0
Federal Contributions	293,070	0	0	0	0	0	0	0
Private Contributions	23,798	0	0	0	0	0	0	0
TOTAL-All Funds Net	197,050,225	57,695,118	78,139,870	76,945,357	61,570,550	80,583,625	79,275,305	63,546,048

DIVISION OF SPECIAL REVENUE

HTTP://WWW.STATE.CT.US/DOSR/

AGENCY DESCRIPTION:

The mission of the Division of Special Revenue is to ensure the highest degree of integrity in the conduct of all forms of legalized gambling within the State by insuring that the operation and management of all gaming is honest and fair to the public, and by administering the gaming laws of the State of Connecticut and monitoring compliance with the Tribal-State Compacts.

The Division discharges its responsibilities through four primary types of program activities:

The Off-Track Betting Section ensures the integrity of the Off-Track Betting system operations and betting activity by monitoring and enforcing regulations involving licensing and integrity issues; overseeing daily operations of telephone betting in addition to seven (7) simulcast facilities and eight (8) branch facilities by performing on-site inspections.

The Gambling Regulation Section ensures the integrity of the jai alai and greyhound racing facilities licensed to operate within the State by maintaining an on-site presence at the facilities to oversee daily operations to guard against statutory or regulatory violations and to monitor licensing and integrity issues as well as the oversight of pari-mutuel wagering activity to protect the public against unfair or illegal practices.

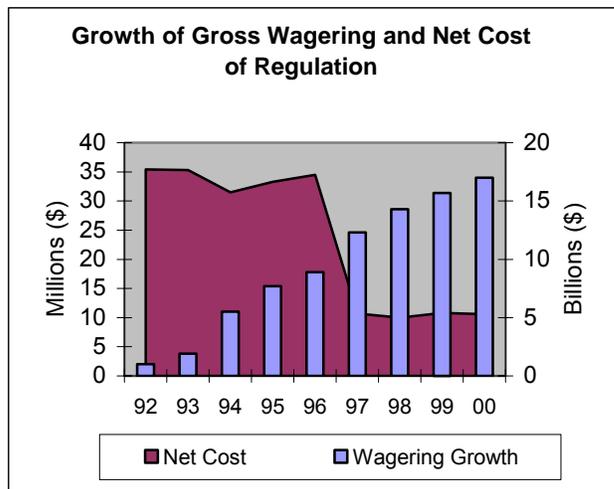
The integrity of the operation of the Connecticut Lottery Corporation is ensured by coordinating and reviewing the testing of new lottery games; reviewing procedures involving integrity issues; enforcing regulations and statutory mandates; and conducting field inspections of CLC headquarters, the Lottery on-line vendor and approximately 3,000 lottery agent locations.

This section is responsible for regulatory oversight of all Class III gaming activity to ensure all activities are conducted in a manner which is honest, fair to patrons and amenable to regulatory oversight, approve standards of operation and management, verification of the accuracy and integrity of wagering activities; and oversees the tribal gaming agency and operation to ensure compliance with the requirements of the compact/procedures.

The Charitable Games Section is responsible for permitting and regulating various charitable gaming activities, e.g., bingo, raffles, bazaars, Las Vegas Nights, and legal "sealed tickets".

Management Services include the Executive Director's Office and four support units, including Planning and Research, Administration, Security, and Integrity Assurance/Technical Services which provide essential services relating to the gaming programs and Division operational responsibilities.

Outcome Measure:



AGENCY PROGRAM INDEX

Off-Track Betting	122	Charitable Games	124
Gambling Regulation	122	Management Services	124

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

• Reduce Agency Personal Services	2001-2002	2002-2003
• Transfer Equipment to CEPP	-89,858	-147,258
• Reduce Inflation and Other Miscellaneous Reductions	-227,180	-84,180
• Continue FY 2001 Allotment Recision	-41,087	-86,261
• Change Gaming Study Requirement from 5 Years to 10 Years	-21,715	-21,715
• Reduce Expenditures to Reflect the Receipt of Indirect Costs Associated with Casino Operations	-550,000	
	-466,029	-492,048

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	154	13	-1	166	166	166	166	166
Private Contributions	27	0	0	27	27	27	27	27
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
			Actual	Estimated	Requested	Recommended	Requested	Recommended
Other Positions Equated to Full Time			2	2	2	2	2	2
General Fund								

Budget-in-Detail

Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Off-Track Betting	5,329,567	5,562,549	5,649,048	5,649,048	5,646,253	5,729,317	5,729,317	5,724,475
Gambling Regulation	3,433,434	3,263,837	3,377,445	3,362,445	2,862,187	3,492,985	3,477,985	2,925,732
Charitable Games	1,092,780	1,207,093	1,346,250	1,346,250	1,334,634	1,398,264	1,398,264	1,378,274
Management Services	7,004,326	6,972,750	8,558,434	8,545,520	7,736,319	8,196,647	8,190,733	8,052,815
TOTAL Agency Programs - All Funds Gross	16,860,107	17,006,229	18,931,177	18,903,263	17,579,393	18,817,213	18,796,299	18,081,296
Less Turnover	0	0	-158,271	-158,271	-158,271	-165,873	-165,873	-165,873
Less General Personal Services Reduction	0	0	0	0	-71,999	0	0	-116,459
TOTAL Agency Programs - All Funds Net	16,860,107	17,006,229	18,772,906	18,744,992	17,349,123	18,651,340	18,630,426	17,798,964
Summary of Funding								
General Fund Net	8,168,744	9,170,732	10,832,253	10,804,339	9,408,470	10,560,816	10,539,902	9,708,440
Special Funds, Non-Appropriated	4,973,685	4,982,000	4,985,000	4,985,000	4,985,000	4,993,000	4,993,000	4,993,000
Private Contributions	3,717,678	2,853,497	2,955,653	2,955,653	2,955,653	3,097,524	3,097,524	3,097,524
TOTAL Agency Programs - All Funds Net	16,860,107	17,006,229	18,772,906	18,744,992	17,349,123	18,651,340	18,630,426	17,798,964

PROGRAM: OFF-TRACK BETTING

Statutory Reference:

C.G.S. Sections 12-571, 12-572, 12-575 and 12-576

Statement of Need and Program Objectives:

To ensure the integrity of the Off-Track Betting system through the enforcement of regulations and statutes pertaining to the operation of the system in the State of Connecticut by monitoring the day-to-day operations and betting activity at all OTB simulcast and branch facilities.

To monitor facilities for public safety issues and ensure that the facilities comply with the prohibition against minors entering upon the premises and that the facilities post information pertaining to pathological gambling.

To assess and collect applicable taxes and make payments to municipalities. To oversee all simulcast activities into and out of the state by any licensed pari-mutuel association.

Program Description:

The Off-Track Betting regulatory functions are divided into central office administration and field activities. This operation presently includes eleven OTB branch facilities, (three with simulcasting), four simulcasting facilities, telephone betting, and the totalizator hub for all pari-mutuel wagering within the State. OTB section employees are located at the Division of Special Revenue headquarters in Newington,

the hub site in New Haven, the teletheaters located in Windsor Locks and New Haven, and additional employees are assigned to monitor activities at the eleven off-track betting offices located throughout the State.

The Gaming Policy Board licenses all entities conducting simulcasting of OTB wagering.

The Central Office staff develops and ensures compliance with the regulations that govern the seven-day a week operation of off-track betting, simulcasting, and telephone betting. Compliance includes the enforcement of rules for each of the wagering pools and approval of the procedures which govern common-pool wagering with out-of-state tracks or with locations outside of the United States and the manual merging of pools from within and without the State. Compliance also includes the licensing of gaming and non-gaming employees. The central office staff establishes procedures for the review and distribution of license applications, reviews files of applicants recommended for denial or revocation of license(s), and handles requests for reinstatement from ejected patrons.

The Field Staff monitors all of the pari-mutuel associations to ensure compliance with applicable statutes, regulations and policies. Hub liaison officers close wagering pools in accordance with regulation and policy, report on totalizator and race control incidents, and monitor currency exchange rates.

Program Measure

General Fund Revenue (\$M)	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
	5.6	5.6	5.7	5.75

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	21	1	0	22	22	22	22	22

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	795,380	977,270	1,042,876	1,042,876	1,040,631	1,096,625	1,096,625	1,092,762
Other Expenses	22,410	26,809	22,824	22,824	22,274	23,735	23,735	22,756
TOTAL-General Fund	817,790	1,004,079	1,065,700	1,065,700	1,062,905	1,120,360	1,120,360	1,115,518

Additional Funds Available

Special Funds, Non-Appropriated	4,445,528	4,506,000	4,529,000	4,529,000	4,529,000	4,552,000	4,552,000	4,552,000
Private Contributions	66,249	52,470	54,348	54,348	54,348	56,957	56,957	56,957
TOTAL-All Funds	5,329,567	5,562,549	5,649,048	5,649,048	5,646,253	5,729,317	5,729,317	5,724,475

Off-Track Betting

PROGRAM: GAMBLING REGULATION

Statutory Reference:

C.G.S. Section 12-574

Statement of Need and Program Objectives:

To ensure the integrity and security of greyhound racing, jai alai and the Connecticut Lottery in order to protect the betting public by

developing and enforcing regulations and statutes governing the operation and management of licensed gambling activities in Connecticut.

To license all facilities, employees, and lottery agents and provide an on-site presence or random inspections of lottery agents.

To monitor the day-to-day activities including the integrity of on-line gaming systems and internal controls and to ensure that the facilities comply with the prohibition of minors engaging in gambling activity or being on the premises and that the facilities post information pertaining to pathological gambling.

Program Description:

The pari-mutuel regulatory functions are divided into central office administrative operations and field activities.

Central staff develop regulations that define the rules of jai alai and greyhound racing; establish the different types of wagers; and create standards for jai alai players, greyhound owners, trainers, kennel owners and all employees of the jai alai and greyhound racing facilities. Regulations also set standards and procedures for the issuance of temporary licenses and for ensuring the integrity of wagering equipment and the use of the equipment. Safeguards against fraudulent practices and abuse of any patron using these privately-owned gambling facilities are also included as are the powers needed to protect the public from any physical harm or threat to their safety while on the premises of the regulated facilities. Procedures for adjudication of violations and associated punishments are also contained in the regulations. For reasons of efficiency, economy and productivity, the regulation of the Lottery and off-track betting system is performed by the same staff.

The central office handles written complaints from patrons, dispenses information and data requested by the public or other state agencies, and maintains files on all persons and entities licensed to work or perform at the facilities. The dates (and make-up dates) when jai alai and greyhound racing will be conducted are determined by the Gaming Policy Board on the recommendation of the central staff.

Field staff employees maintain high visibility at the facilities in order to be readily available to handle and correct any patron or licensee complaints and are vigilant to detect and report activities that violate regulations, threaten the integrity of the gambling activities, or endanger the safety of the patrons at the facilities.

The field staff serve on the Board of Judges and hear cases involving violations, ejection of patrons, or requests for reinstatement after ejection. The central office retains the right to adjudicate any violations of its regulations and hold new hearings on any matter appealed by a licensee dissatisfied with the decision at the facility level.

The field staff conducts inspections of the kennels, to ensure racing integrity, and is present at the selection of greyhounds for each race and post position, as well as, the weighing-in of each animal. To enforce regulations against illegal drug use, the field staff collects urine samples from greyhounds racing at Plainfield Greyhound Park and Shoreline Star. The samples are sealed and delivered to the University

of Connecticut microchemistry laboratory where they are examined for any prohibited substance. In addition, the field staff acts as the official scorer of each jai alai game and judges the official results of each greyhound race.

The Indian Gaming Section of the Gambling Regulation Unit has liaison officers stationed at both Foxwoods Casino located on the Mashantucket Pequot Reservation in Ledyard, Connecticut and at the Mohegan Sun Resort, located on the Mohegan Reservation in Montville, Connecticut. The casino liaison officers are responsible for monitoring the casinos compliance with the Gaming Procedures and Tribal-State Compact and Memorandums of Understanding relating to video facsimile machines.

Lottery regulatory functions include ensuring compliance with the statutes, regulations and official procedures which govern the seven day a week, year round operation of the Lottery. The regulatory staff have the right to initiate hearings under the Uniform Administrative Procedures Act for statutory or regulatory violations. The Lottery operation presently includes approximately 3,000 licensed lottery agents who sell lottery tickets for the Instant and on-line games. There are five high-tier claims centers located in the towns of Plainfield, Waterbury, Stamford, West Haven, and Willimantic. Lottery headquarters is located in New Britain where claims of all amounts are handled. There were 147 active instant games during FY 1999-2000. The on-line games (Mid-Day 3, Mid-Day 4, Play 4, Nightly Numbers, Cash 5, Classic Lotto and Powerball) are operated on a network of approximately 3,000 computer terminals.

Play 4, Nightly Numbers and Cash 5 drawings are conducted seven days a week; Mid-Day 3 and Mid-Day 4 drawings are conducted five times a week, Monday through Friday; Lotto drawings are conducted twice weekly on Tuesday and Friday; Powerball drawings are conducted twice a week on Wednesday and Saturday.

Central office functions include the coordination and review of tests for new lottery products and betting systems; review of all operating procedures involving integrity issues; promulgation of regulations; review denials of lottery agent applications for licensure and coordination of hearing requests for actions taken against current licensed agents or lottery agent licenses. Regulation of the Lottery is performed by the same staff who regulate the off-track betting system.

Field personnel maintain high visibility at both the Lottery's headquarters and at the on-line vendor's computer center in order to detect and report any activity that violates regulations or statutes or that threatens the integrity of the Lottery. They also conduct on-site inspections of over 3,000 lottery agent sites to assure compliance with Division policies and procedures. There are seventeen positions devoted to the field regulation of Lottery and off-track betting.

Program Measure

State Share of Parimutuel Revenue (\$M)

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
	0.57	0.5	0.48	0.47

Personnel Summary

Permanent Fulltime Positions

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	25	2	0	27	27	27	27	27
Private Contributions	13	0	0	13	13	13	13	13

Financial Summary

(Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,357,490	1,372,823	1,443,030	1,443,030	974,967	1,516,725	1,516,725	1,021,539
Other Expenses	545,579	557,103	589,790	574,790	542,595	603,982	588,982	531,915
TOTAL-General Fund	1,903,069	1,929,926	2,032,820	2,017,820	1,517,562	2,120,707	2,105,707	1,553,454
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	528,157	476,000	456,000	456,000	456,000	441,000	441,000	441,000
Private Contributions	1,002,208	857,911	888,625	888,625	888,625	931,278	931,278	931,278
TOTAL-All Funds	3,433,434	3,263,837	3,377,445	3,362,445	2,862,187	3,492,985	3,477,985	2,925,732

Gambling Regulation

PROGRAM: CHARITABLE GAMES

Statutory Reference:

C.G.S. Chapter 98

Statement of Need and Program Objectives:

To ensure the integrity of authorized charitable gaming activities, including the sale of sealed tickets, through enforcement of applicable statutes and regulations, administration, and field oversight.

Program Description:

The Charitable Games Section within the Gambling Regulation Unit is responsible for the issuance of registrations and/or permits for authorized charitable gaming activities and enforcement of applicable statutes and regulations through field oversight. The section's functions are divided into central office administrative operations and field activities.

Central Office Staff are responsible for reviewing registration and permit applications to ensure conformance with statutory/regulatory

requirements and for processing registration and permit applications for approval and/or issuance. Staff members are responsible for the design, development, distribution and sale of sealed tickets to charitable organizations; and for accounting of revenue derived from permit fees and sealed ticket sales. The central office has the authority to initiate administrative proceedings for applicable statutory/regulatory infractions as reported by the field staff or on its own initiative.

Field Staff are responsible for inspecting charitable gaming activities to ensure compliance with the law and regulations; on-site audit of books and records of permittees relative to the receipts and expenditures from permitted activity; and reporting statutory/regulatory violations to the central office. Field staff members are liaisons between the Division and the permittees, and maintain high visibility at the events that they inspect.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
Total Revenue (\$M)	<u>Actual</u> 1.2	<u>Estimated</u> 1.3	<u>Projected</u> 1.3	<u>Projected</u> 1.35

Personnel Summary

Permanent Fulltime Positions

General Fund	As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003	
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	19	1	0	20	20	20	20	20

Financial Summary

(Net of Reimbursements)

Personal Services	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
Other Expenses	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Capital Outlay	818,354	906,101	949,367	949,367	947,323	999,018	999,018	995,499
Equipment	250,608	300,992	396,883	396,883	387,311	399,246	399,246	382,775
TOTAL-General Fund	23,818	0	0	0	0	0	0	0
Charitable Games	1,092,780	1,207,093	1,346,250	1,346,250	1,334,634	1,398,264	1,398,264	1,378,274

PROGRAM: MANAGEMENT SERVICES

Statutory Reference:

C.G.S. Section 12-559

Program Description:

This program supports the Gaming Policy Board and program units in the following ways:

The Executive Director's Office formulates and implements policy as authorized by the Gaming Policy Board and provides operational support for personnel, payroll, and affirmative action.

The Planning and Research Unit serves as the legal section for the agency providing the services of an in-house counsel for day-to-day legal advice to the Executive Director/Deputy and other units of the Division on such matters as the agency's compliance with its own regulations and state or federal statutes; Commission on Human Rights complaints; assists in the formulation of legislation and regulations; and interpretation of Indian Gaming Compacts and Procedures. In this role, the unit is the primary liaison with the Attorney General's Office and the agency contact for freedom of information requests.

The unit is responsible for the administrative hearing process, in accordance with Chapter 54 of the Connecticut General Statutes for organizations or individuals who are denied gaming licenses or for licensees who are found in violation of agency regulations. The unit also helps to implement agency initiatives and programs, coordinates the five-year legalized gaming impact study, conducts business planning and management studies to assure efficient operation of the agency, in addition to performing statistical analysis, research on gaming issues and developing revenue projections related to budget developments.

Administration provides operational support for all components of the Division including budget preparation, purchasing, general fund accounting and related services.

Integrity Assurance/Technical Services conducts audits of entities associated with legalized gaming, including the pari-mutuel and off-track betting associations, the Connecticut Lottery Corporation and the Foxwoods and Mohegan Sun Casinos. The unit performs internal financial and operational audits and performs accounting and financial reporting for the State revenue derived from pari-mutuel and off-track betting and charitable gaming and for the casino slot machine revenues.

The unit also manages the agency information systems. This oversight includes the following functional areas: Network Administration, Applications Development, Operations and Client Service Center/Web Site Support. Information Systems Administration is heavily involved in the agency's long-range Information Systems planning effort and utilizes its support services for special projects at both the agency and statewide levels.

The Security Unit fosters gaming integrity through continuing surveillance, regulation and enforcement. The unit safeguards personnel, equipment, facilities, materials and documents against threats, theft or damage. The unit processes all initial applications and annual renewals for lottery agents, employees of the Connecticut Lottery Corporation, owners, vendors and employees of pari-mutuel and off-track betting facilities, as well as all gaming-related employees and vendors for both the Foxwoods and Mohegan Sun Casinos.

Security staff conducts administrative investigations of regulatory violations of various licensees and assists other units in assuring that all reasonable security precautions are taken with regard to their respective gaming operations and procedures. Security personnel conduct background investigation on applicants for licenses issued by the Division. They oversee all Lottery related drawings. The unit also maintains liaison with other law enforcement agencies.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Management Services General Fund Expense as a Ratio of Sales	000256:1	000285:1	000337:1	000290:1
Management Services G.F. Expense as a Percent of Total G.F. Expenditures(%)	53.31	55.24	58.97	56.07

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	89	9	-1	97	97	97	97	97
Private Contributions	14	0	0	14	14	14	14	14
				1999-2000	2000-2001	2001-2002	2001-2002	2002-2003
<i>Other Positions Equated to Full Time</i>				<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>
General Fund				2	2	2	2	2

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,653,526	4,213,163	4,866,763	4,860,849	4,850,385	5,137,752	5,131,838	5,113,763
Other Expenses	669,680	785,471	1,443,811	1,443,811	872,254	864,426	864,426	828,763
<i>Capital Outlay</i>								
Equipment	0	31,000	235,180	228,180	1,000	85,180	85,180	1,000
<i>Other Current Expenses</i>								
Year 2000 Conversion	31,899	0	0	0	0	0	0	0
TOTAL-General Fund	4,355,105	5,029,634	6,545,754	6,532,840	5,723,639	6,087,358	6,081,444	5,943,526
<i>Additional Funds Available</i>								
Private Contributions	2,649,221	1,943,116	2,012,680	2,012,680	2,012,680	2,109,289	2,109,289	2,109,289
TOTAL-All Funds	7,004,326	6,972,750	8,558,434	8,545,520	7,736,319	8,196,647	8,190,733	8,052,815

Management Services**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	6,024,597	8,115,408	8,804,969	8,316,239	9,225,768	8,699,211
Other Positions	282,167	282,791	299,753	299,753	314,202	314,202
Other	272,941	329,834	406,998	406,998	416,525	416,525
Overtime	45,045	84,426	87,475	87,475	90,784	90,784
TOTAL-Personal Services Gross	6,624,750	8,812,459	9,599,195	9,110,465	10,047,279	9,520,722
Less Reimbursements	0	-1,343,102	-1,297,159	-1,297,159	-1,297,159	-1,297,159
Less Turnover	0	0	-158,271	-158,271	-165,873	-165,873
Less General Personal Services Reductions	0	0	0	-71,999	0	-116,459
TOTAL-Personal Services Net	6,624,750	7,469,357	8,143,765	7,583,036	8,584,247	7,941,231
<i>Other Expenses-Contractual Services</i>						
Advertising	2,830	2,849	2,914	2,849	2,984	2,849
Printing And Binding	3,930	3,986	4,077	3,986	4,175	3,986
Dues And Subscriptions	8,295	9,944	10,173	9,944	10,417	9,944
Utility Services	80,931	83,499	81,962	81,616	81,678	81,136
Rents, Storage & Leasing	116,690	111,080	113,636	111,080	116,363	111,080
Telecommunication Services	47,717	43,153	44,145	43,153	45,205	43,153
General Repairs	103,319	158,884	162,538	157,812	166,439	156,680
Motor Vehicle Expenses	95,896	100,871	103,191	100,871	105,668	100,871
Fees For Outside Professional Services	207,615	250,588	950,787	372,711	352,085	316,098
Fees For Non-Professional Services	3,362	3,150	3,222	3,150	3,299	3,150
DP Services, Rentals and Maintenance	196,559	295,488	302,283	295,488	309,539	295,488
Postage	23,022	23,350	23,887	23,350	24,460	23,350
Travel	82,285	115,204	117,853	115,204	120,681	115,204
Other Contractual Services	489,667	498,923	525,397	498,923	538,007	498,923
<i>Other Expenses-Commodities</i>						
Agricultural, Horticultural, And Dairy	91	85	87	85	89	85
Books	3,851	3,608	3,691	3,608	3,780	3,608
Law Enforcement, Clothing\Personal Supplies	883	828	847	828	867	828
Maintenance and Motor Vehicle Supplies	35,878	35,898	36,724	35,898	37,606	35,898
Medical Supplies	41	38	38	38	38	38
Fuel	10,596	12,053	10,660	10,660	10,660	10,660
Office Supplies	77,122	84,038	85,971	84,038	88,035	84,038
Miscellaneous Commodities	3,876	3,632	3,715	3,632	3,804	3,632
TOTAL-Other Expenses Gross	1,594,456	1,841,149	2,587,798	1,958,924	2,025,879	1,900,699

Budget-in-Detail

Less Reimbursements	0	-170,774	-134,490	-134,490	-134,490	-134,490
TOTAL-Other Expenses Net	1,594,456	1,670,375	2,453,308	1,824,434	1,891,389	1,766,209

Other Current Expenses

Year 2000 Conversion	31,899	0	0	0	0	0
TOTAL-Other Current Expenses	31,899	0	0	0	0	0

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	6,624,750	7,469,357	8,143,765	8,137,851	7,583,036	8,584,247	8,578,333	7,941,231
Other Expenses Net	1,488,277	1,670,375	2,453,308	2,438,308	1,824,434	1,891,389	1,876,389	1,766,209
Capital Outlay	23,818	31,000	235,180	228,180	1,000	85,180	85,180	1,000
Other Current Expenses	31,899	0	0	0	0	0	0	0
TOTAL-General Fund Net	8,168,744	9,170,732	10,832,253	10,804,339	9,408,470	10,560,816	10,539,902	9,708,440
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	4,973,685	4,982,000	4,985,000	4,985,000	4,985,000	4,993,000	4,993,000	4,993,000
Private Contributions	3,717,678	2,853,497	2,955,653	2,955,653	2,955,653	3,097,524	3,097,524	3,097,524
TOTAL-All Funds Net	16,860,107	17,006,229	18,772,906	18,744,992	17,349,123	18,651,340	18,630,426	17,798,964

STATE INSURANCE AND RISK MANAGEMENT BOARD

AGENCY DESCRIPTION:

[HTTP://WWW.IRMB.STATE.CT.US/](http://www.irmb.state.ct.us/)

The State Insurance and Risk Management Board determines the method by which the State will insure or self-insure itself against loss. After determining in which situations the State should be an insurer, the Board determines how much and what types of insurance to purchase. It considers the appropriateness of deductibles, self-insured retentions and other concepts and then enters a bid process to secure all commercially placed insurance contracts.

The Board serves as the focal point of all risk management and insurance matters affecting the State. The Board identifies and addresses the State's unique exposures by developing risk management tools to help reduce the cost of risk to the State. Some of these techniques include large loss review meetings, training sessions for State personnel, property inspections and accident review meetings. Board members receive no compensation for the performance of their duties.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

	2001-2002	2002-2003
	-4,369	-9,809
		-2,000
	-7,075	-15,106

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions
General Fund

As of 06/30/2000	2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
Filled	Vacant	Change	Total	Requested	Recommended	Requested
3	0	0	3	3	3	3

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Insurance on Properties & Surety Bonds	9,652,428	10,173,929	10,871,747	10,857,597	10,846,153	11,783,245	11,779,690	11,752,775
TOTAL Agency Programs - All Funds Gross	9,652,428	10,173,929	10,871,747	10,857,597	10,846,153	11,783,245	11,779,690	11,752,775
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	9,652,428	10,173,929	10,871,747	10,857,597	10,846,153	11,783,245	11,779,690	11,752,775
<i>Summary of Funding</i>								
General Fund Net	7,571,429	8,031,654	8,619,747	8,605,597	8,594,153	9,326,245	9,322,690	9,295,775
Special Transportation Fund Net	2,080,999	2,142,275	2,252,000	2,252,000	2,252,000	2,457,000	2,457,000	2,457,000
TOTAL Agency Programs - All Funds Net	9,652,428	10,173,929	10,871,747	10,857,597	10,846,153	11,783,245	11,779,690	11,752,775

PROGRAM: INSURANCE ON STATE PROPERTIES AND SURETY BONDS FOR STATE OFFICIALS & EMPLOYEES

Statutory Reference:

C.G.S. Sections 4a-19, 4a-20, 4a-20a and 4a-21

Statement of Need and Program Objectives:

To protect the state against loss by providing and promoting a coordinated risk management program within the state.

Program Description:

The principal duties of the State Insurance and Risk Management Board are:

Determining the method by which the state shall insure itself against losses by the purchase of insurance; Obtaining the broadest coverage at the most reasonable costs; Directing negotiations for the purchase of such insurance and determine the applicability of deductibles and self-insurance; Designating the agent of record and selecting companies from which the insurance coverage shall be purchased; Negotiating all elements of insurance premiums and the agent's commission and/or

fee for service; Establishing specifications and request bids for each insurance contract through the agent of record; and Identifying the most effective and economical methods to reduce the state's losses through exposure identification, loss control, risk transfer or risk assumption.

Some of the risk management devices, which the board has utilized, are large loss review, loss control surveys, training sessions for state personnel, monthly accident review committees and defensive driving programs. The board has undertaken initiatives to develop and implement a more proactive risk management program. As statutorily required, the board continues to assess the feasibility of self-insurance (including deductibles and retentions) as a possible alternative to commercial insurance.

The major areas of coverage under the board's purview are real and personal property insurance, liability insurance and surety bonds for state officials and employees.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
Motor Vehicle liability (000)	6,192	6,426	7,065	7,703
Fire, Extended Coverage (000)	1,297	1,512	1,417	1,512
Liability (000)	2,999	3,142	3,288	3,570
All Other (000)	782	694	898	955

Budget-in-Detail

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	3	0	0	3	3	3	3	3

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	166,626	217,548	214,984	214,984	210,615	228,392	228,392	218,583
Other Expenses	7,314,803	7,695,006	8,264,563	8,258,313	8,251,238	8,941,403	8,937,848	8,922,742
<u>Capital Outlay</u>								
Equipment	0	100	8,000	100	100	3,000	3,000	1,000
<u>Other Current Expenses</u>								
Surety Bonds State Officials & Employ	90,000	119,000	132,200	132,200	132,200	153,450	153,450	153,450
TOTAL-General Fund	7,571,429	8,031,654	8,619,747	8,605,597	8,594,153	9,326,245	9,322,690	9,295,775
Other Expenses	2,080,999	2,142,275	2,252,000	2,252,000	2,252,000	2,457,000	2,457,000	2,457,000
TOTAL-Special Transportation Fund	2,080,999	2,142,275	2,252,000	2,252,000	2,252,000	2,457,000	2,457,000	2,457,000

Insurance on Properties & Surety Bonds

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	165,455	216,072	213,508	209,139	226,575	216,766
Other	1,171	1,476	1,476	1,476	1,817	1,817
TOTAL-Personal Services Gross	166,626	217,548	214,984	210,615	228,392	218,583
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	166,626	217,548	214,984	210,615	228,392	218,583
<u>Other Expenses-Contractual Services</u>						
Dues And Subscriptions	2,227	2,275	2,527	2,275	2,583	2,275
Telecommunication Services	962	1,000	1,023	1,000	1,048	1,000
General Repairs	301	303	310	303	317	303
Insurance	7,019,946	9,205,602	9,956,300	9,956,300	10,801,825	10,801,825
Fees For Outside Professional Services	282,500	296,650	326,650	316,649	326,650	312,063
Fees For Non-Professional Services	215	226	231	226	237	226
Postage	1	50	51	50	52	50
Travel	1,168	1,703	3,719	1,703	4,236	1,703
Other Contractual Services	250	263	269	263	275	263
<u>Other Expenses-Commodities</u>						
Books	117	123	126	123	129	123
Office Supplies	6,901	4,770	5,776	4,770	5,899	4,770
Miscellaneous Commodities	215	226	231	226	237	226
TOTAL-Other Expenses Gross	7,314,803	9,513,191	10,297,213	10,283,888	11,143,488	11,124,827
Less Reimbursements	0	-1,818,185	-2,032,650	-2,032,650	-2,202,085	-2,202,085
TOTAL-Other Expenses Net	7,314,803	7,695,006	8,264,563	8,251,238	8,941,403	8,922,742
<u>Other Current Expenses</u>						
Surety Bonds State Officials & Employ	90,000	119,000	132,200	132,200	153,450	153,450
TOTAL-Other Current Expenses	90,000	119,000	132,200	132,200	153,450	153,450

AGENCY FINANCIAL SUMMARY - SPECIAL TRANSPORTATION FUND

Current Expenses by Minor Object

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Other Expenses-Contractual Services</u>						
Insurance	2,080,999	2,142,275	2,252,000	2,252,000	2,457,000	2,457,000
TOTAL-Other Expenses Gross	2,080,999	2,142,275	2,252,000	2,252,000	2,457,000	2,457,000
Less Reimbursements						
TOTAL-Other Expenses Net	2,080,999	2,142,275	2,252,000	2,252,000	2,457,000	2,457,000

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services Net	166,626	217,548	214,984	214,984	210,615	228,392	228,392	218,583
Other Expenses Net	7,314,803	7,695,006	8,264,563	8,258,313	8,251,238	8,941,403	8,937,848	8,922,742
Capital Outlay	0	100	8,000	100	100	3,000	3,000	1,000
Other Current Expenses	90,000	119,000	132,200	132,200	132,200	153,450	153,450	153,450
TOTAL-General Fund Net	7,571,429	8,031,654	8,619,747	8,605,597	8,594,153	9,326,245	9,322,690	9,295,775
Other Expenses Net	2,080,999	2,142,275	2,252,000	2,252,000	2,252,000	2,457,000	2,457,000	2,457,000
TOTAL-Special Transportation Fund Net	2,080,999	2,142,275	2,252,000	2,252,000	2,252,000	2,457,000	2,457,000	2,457,000

GAMING POLICY BOARD

AGENCY DESCRIPTION:

The Gaming Policy Board works in cooperation with the Division of Special Revenue to implement and administer provisions covering the conduct and operation of legalized gaming. The board's responsibilities include: establishing jai alai competition and greyhound racing meeting dates in the state and approving the associated types of pari-mutuel

wagering; advising and assisting the executive director of the Division of Special Revenue; advising the Governor on statewide plans and goals for legalized gaming; and approving administrative regulations covering activities such as charitable gaming.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Inflation and Other Miscellaneous Reductions

<u>2001-2002</u>	<u>2002-2003</u>
-79	-162

AGENCY PROGRAMS:

<i>Agency Programs by Total Funds</i> (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Development of Gaming Policy	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
TOTAL Agency Programs - All Funds Gross	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
<i>Summary of Funding</i>								
General Fund Net	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
TOTAL Agency Programs - All Funds Net	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400

PROGRAM: DEVELOPMENT OF GAMING POLICY

Statutory Reference:

C.G.S. Chapter 226 and 226b

Statement of Need and Program Objectives:

To protect the public interest by ensuring the highest standard of legalized gambling regulation and to continue to maintain public trust in the Gaming Policy Board and the Division of Special Revenue by working in cooperation with the division in the achievement of common goals for legalized gambling.

Program Description:

The Gaming Policy Board provides policy direction to the Division of Special Revenue in the implementation of the regulatory provisions

covering the conduct and operation of legalized gaming. Statutory responsibilities include:

Approving, suspending or revoking association licenses; Setting jai alai and greyhound racing meeting dates in the State; and approving the types of pari-mutuel wagering to be permitted; Advising and assisting the executive director of the Division of Special Revenue; Advising the Governor on statewide plans and goals for legalized gaming; approving regulations prior to adoption for all programs including charitable games such as bingo, raffles, bazaars, and games of chance; and Hearing all appeals of any licensee or applicant for a license aggrieved by a decision of the Executive Director.

<i>Financial Summary</i> (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Other Expenses	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
TOTAL-General Fund	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
Development of Gaming Policy								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Expenses-Contractual Services</i>						
Printing And Binding	234	0	0	0	0	0
Fees For Outside Professional Services	1,400	2,372	2,427	2,372	2,485	2,372
Postage	94	112	115	112	118	112
Travel	371	519	531	519	544	519
<i>Other Expenses-Commodities</i>						
Law Enforcement, Clothing\Personal Supplies	415	0	0	0	0	0
Office Supplies	333	397	406	397	415	397
TOTAL-Other Expenses Gross	2,847	3,400	3,479	3,400	3,562	3,400
Less Reimbursements						
TOTAL-Other Expenses Net	2,847	3,400	3,479	3,400	3,562	3,400

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Other Expenses Net	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400
TOTAL-General Fund Net	2,847	3,400	3,479	3,479	3,400	3,562	3,562	3,400

OFFICE OF POLICY AND MANAGEMENT

[HTTP://WWW.OPM.STATE.CT.US/](http://www.opm.state.ct.us/)

AGENCY DESCRIPTION:

The Office of Policy and Management (OPM) serves as a staff agency reporting directly to the Governor, providing the information and analysis required to formulate public policy for the state and assisting state agencies and municipalities in implementing policy decisions on the Governor's behalf.

The objectives of OPM are to: Provide the staff functions of budget, management, planning and intergovernmental relations through a single agency; Encourage the integration of planning, budgeting and program analysis; Provide necessary staff support to the Governor on policy analysis, development and implementation, and Seek long-term improvements in the management of state agencies.

The Office of Policy and Management is headed by a secretary and a deputy secretary who advise the Governor with the assistance of division heads for Administration, Budget and Financial Management, Finance, Intergovernmental Policy, Labor Relations, Policy Development and Planning, and Strategic Management. Much of OPM's work is affected by external forces such as general economic, environmental and social conditions, state-federal relations, natural disasters, and the energy supply and demand outlook.

OPM performs various fiscal functions to monitor, implement and report on the state's budget throughout the fiscal year. OPM prepares the

Governor's biennial budget, including the state's capital budget, for submission to the legislature in odd-numbered years. OPM prepares the Governor's budget adjustments for the second half of the biennium that are submitted in even-numbered years.

Major agency initiatives the past year included reduction in the tax on gasoline; a statewide hiring and allotment rescission program; development of a statewide Workplace Violence Prevention program; development of long-term care initiatives to provide alternatives to nursing home care; crime reform initiatives; survey of executive branch agencies regarding performance measures; and development of economic development projects in downtown Hartford and East Hartford.

Areas in which OPM is facilitating interagency coordination include urban policy (with particular focus on distressed municipalities), crime prevention and youth development, land use and physical resources, prison overcrowding and alternative sanctions, health care access, human capital development to match Connecticut's workers and their skills to available jobs, water resources conservation, job creation and economic development, and the purchase of human services.

OPM also performs grants management and intergovernmental review and provides technical assistance to municipalities.

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RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	<u>2001-2002</u>	<u>2002-2003</u>
• Reduce Agency Personal Services	-133,162	-222,670
• Transfer Equipment to CEPF	-224,000	-164,000
• Reduce funding for the High Efficiency Licensing Program	-150,000	-150,000
• Reduce Funding for the Children and Youth Development Program	-750,000	-750,000
• Reduce Funding for Justice Assistance Grants	-500,000	-2,000,000
• Make Additional Personal Services Reductions to Effect Economies	-526,821	-556,787
• Continue FY 2001 Allotment Recision	-28,794	-28,794
• Eliminate Waste Water Treatment Facility Host Town Grant	-250,000	-250,000
• Make Additional Other Expense Reductions to Effect Economies	-200,000	-200,000
• Eliminate Truancy Prevention Pilot Program	-560,000	-560,000
<i>The three year pilot has been completed.</i>		
• Reduce Leadership, Athletics in Partnership Grant	-500,000	-500,000
• Reduce Inflation and Other Miscellaneous Reductions	-480,575	-998,441
• Reduce New Manufacturing Machinery and Equipment Grant State Contribution to 80% for New Participants in the Program and Repeal 55,000 Pound Truck Exemption.	-8,300,000	-14,300,000

Reduce the rate schedule to 80% for new participants in the program beginning in FY 2002 and thereafter and repeal the 55,000 pound truck exemption. Towns are obligated to abate 20% and cannot assess businesses.

Reallocations or Transfers

• Transfer Position to the Commission on Human Rights and Opportunities	-55,000	-57,750
• Transfer Position from the Dept. of Correction for Oversight of the Core Financial Systems Replacement Project	117,306	123,786

Appropriations From FY 2001 Surplus

- Provide \$5.0 Million for State Agency's Litigation Costs from the FY 2001 Surplus
- Provide \$33.7 Million for a One-Time Technology and Infrastructure Fund for Private Providers from the FY 2001 Surplus
- Provide \$41.0 Million for an Energy Contingency Fund from the FY 2001 Surplus
- Provide \$6.5 Million for Adriaen's Landing moving costs from the FY 2001 Surplus
- Provide \$8.0 Million for a Lease Option Buyout for the Adriaen's Landing Project from the FY 2001 Surplus
- Provide \$200,000 for Adriaen's Landing Property Tax Costs from the FY 2001 Surplus
- Provide \$1.5 Million to Extend the Safe Neighborhood Program for One Additional Year from the FY 2001 Surplus
- Provide \$2.0 Million for Jail Diversion and Other Federal Justice Assistance Federal Match Requirements from the FY 2001 Surplus
- Provide \$3.0 Million for Thermal Imaging Equipment from the FY 2001 Surplus

AGENCY PROGRAMS:

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	171	12	-1	182	182	182	182	182
Federal Contributions	12	2	0	14	14	14	14	14
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			7	9	9	9	9	9
Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Office of Secretary & Admin Support	22,218,027	5,242,752	5,521,467	5,452,735	4,917,005	5,701,214	5,681,795	5,160,750
Policy Dvlpmt, Coord & Implementation	61,791,697	168,522,571	59,463,387	58,066,387	54,605,874	58,811,711	58,630,711	52,952,058
Intergovernmental Policy	162,482,874	161,671,456	173,280,912	167,123,912	158,712,271	183,409,642	174,109,642	159,664,454
TOTAL Agency Programs - All Funds Gross	246,492,598	335,436,779	238,265,766	230,643,034	218,235,150	247,922,567	238,422,148	217,777,262
Less Turnover	0	0	-579,467	-579,467	-579,467	-615,850	-615,850	-615,850
Less General Personal Services Reduction	0	0	0	0	-133,162	0	0	-222,670
TOTAL Agency Programs - All Funds Net	246,492,598	335,436,779	237,686,299	230,063,567	217,522,521	247,306,717	237,806,298	216,938,742
Summary of Funding								
General Fund Net	182,193,637	167,847,133	182,475,055	174,852,323	162,311,277	193,003,551	183,503,132	162,888,476
Special Funds, Non-Appropriated	7,483,622	53,702,307	0	0	0	0	0	0
Bond Funds	32,036,524	31,272,158	30,170,000	30,170,000	30,170,000	30,175,000	30,175,000	30,175,000
Federal Contributions	18,159,394	32,240,777	24,938,744	24,938,744	24,938,744	24,025,666	24,025,666	23,772,766
Private Contributions	6,619,421	50,374,404	102,500	102,500	102,500	102,500	102,500	102,500
TOTAL Agency Programs - All Funds Net	246,492,598	335,436,779	237,686,299	230,063,567	217,522,521	247,306,717	237,806,298	216,938,742

PROGRAM: OFFICE OF THE SECRETARY AND ADMINISTRATIVE SUPPORT**Statutory Reference:**

C.G.S. Section 4-65a

Statement of Need and Program Objectives:

To assist and advise the Governor on policy and financial issues; To advocate the Governor's policies and to coordinate their implementation.

To attain the Office of Policy and Management's objectives by directing and coordinating its programs and providing operational support services.

Program Description:

The Secretary, unique as chief financial and policy advisor to the Governor, is responsible for policy development and the overall financial management of state government. This responsibility includes protecting the long-term and short-term interests of the state.

The Office of the Secretary, with analytic support from the agency's divisions, advises the Governor on: All matters related to fiscal policy; Policy initiatives, particularly those initiatives that cross agency lines; State agency management issues, including agency strategic business planning and the reorganization of state government; Federal issues, in conjunction with the Governor's Washington Office; Impact of federal and state policies on local governments; Financial management policies and practices in all state agencies; and Legislative matters.

The Secretary and Deputy Secretary advocate the Governor's policies with legislators, state agencies, private service providers, the general public, legislative task forces, and the boards and commissions to which the Secretary is named a member.

This office directs the development and implementation of the state's biennial operating and capital budgets as well as budget adjustments in the off year of the biennium. The Secretary meets with the Governor to

assist in establishing priorities and meets with state agency heads in developing the Governor's budget. The Secretary reviews agency requests for bonding of capital projects for submittal to the State Bond Commission and regularly meets with credit rating agencies, bond counsel, and economists concerning the status of the state's bond rating and projections on the national economy.

The office reviews legislative proposals of all state agencies and closely monitors such proposals during the legislative session.

In order to improve the quality of state agency management and control, the Office of the Secretary makes strategic and operational decisions that are consistent with the Governor's policies and programs. When state agency management issues arise, the Secretary may direct the analysis of those issues and work with agency heads on implementation of any recommendations. The Secretary is statutorily charged with oversight of all activities emanating from the recommendations of the Commission to Effect Government Reorganization.

The office establishes the priorities for the planning and analysis, coordination, and implementation efforts of OPM's divisions of Budget and Financial Management, Finance, Intergovernmental Policy, Labor Relations, Policy Development and Planning, and Strategic Management. The office provides guidance and support to the divisions to assist them in attaining their goals.

The Division of Administration is an adjunct to the Office of the Secretary. The division provides a myriad of diversified support services to the six OPM divisions and to all of its employees in the areas of accounting and audit, business operations, human resources, information systems, internet planning and coordination, and organizational and staff development.

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	39	3	-1	41	41	41	41	41
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			2	4	4	4	4	4

Budget-in-Detail

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,845,145	3,015,684	3,474,833	3,441,101	3,382,494	3,652,134	3,697,715	3,636,068
Other Expenses	214,765	897,107	1,019,384	1,019,384	783,511	1,033,416	1,033,416	773,682
Capital Outlay								
Equipment	1,000	1,000	260,000	225,000	1,000	230,000	165,000	1,000
Other Current Expenses								
Para-Olympics	150,000	0	0	0	0	0	0	0
Operation Sail 2000	7,150,000	0	0	0	0	0	0	0
Jobs Program Coordinator	100,000	0	0	0	0	0	0	0
Pmts to Other Than Local Governments								
Arts Grants	5,994,100	0	0	0	0	0	0	0
Pmts to Local Governments								
Capital City Economic Development	750,000	750,000	767,250	767,250	750,000	785,664	785,664	750,000
TOTAL-General Fund	17,205,010	4,663,791	5,521,467	5,452,735	4,917,005	5,701,214	5,681,795	5,160,750
Additional Funds Available								
Special Funds, Non-Appropriated	1,743,023	69,651	0	0	0	0	0	0
Bond Funds	1,089,589	500,000	0	0	0	0	0	0
Private Contributions	2,180,405	9,310	0	0	0	0	0	0
TOTAL-All Funds	22,218,027	5,242,752	5,521,467	5,452,735	4,917,005	5,701,214	5,681,795	5,160,750

Office of Secretary & Admin Support

PROGRAM: POLICY DEVELOPMENT, COORDINATION AND IMPLEMENTATION

Statutory Reference:

C.G.S. Section 4-65a

Statement of Need and Program Objectives:

To assist the Governor, Secretary and state agencies in making policy decisions and in effectively deploying current and future financial and other resources by planning, formulating, coordinating, implementing and evaluating programs and policies that address state needs.

Program Description:

Five divisions of the Office of Policy and Management participate in a comprehensive program of resource allocation, planning, policy analysis, management improvement, financial management improvement, and program evaluation that assists the Governor and the Secretary in formulating and implementing strategies, priorities and programs.

Budget and Financial Management Division develops and implements the state's fiscal and program policies through the formulation of the Governor's Operating and Capital Budget Proposals and the execution of the budget as enacted by the General Assembly and signed by the Governor; Provides ongoing comprehensive analyses, evaluation and recommendations to the Governor and the Secretary regarding the financial and programmatic implications of public policies; and Manages and coordinates the implementation of these financial and programmatic policies among state agencies.

Office of Finance improves the core financial management policies and practices in all state agencies and oversees the project to replace the State's core financial and administrative systems.

Office of Labor Relations delivers timely and effective labor relations and collective bargaining services on behalf of the state employer for state employees in the executive branch, other than the constituent units of Higher Education, the State Board of Education, and the Division of Criminal Justice; Represents the State during the contract grievance process, contract negotiation, midterm bargaining and interest arbitration for executive branch State employee bargaining units; and Represents the State in coalition negotiations on statewide issues such as pensions and health care benefits.

Policy Development and Planning Division improves the effectiveness of state services by ensuring the efficient use of resources through research, policy development, and interagency coordination; Identifies and analyzes issues in areas such as drug abuse prevention, education and treatment; long term care financing; health and human services; crime; prison overcrowding; and youth initiatives as alternatives to violence and delinquency; Develops and recommends plans and policies such as the State Conservation and Development Policies

Plan, the State Capital and Facility Plan, and studies related to the reuse of state surplus properties.

Strategic Management Division identifies, researches, and analyzes trends that are and will be the driving forces shaping the future and develops recommendations on how the delivery of state services must change in response to these trends; Reduces state expenditures for energy through innovative procurement and conservation strategies, and manages state and federal assistance programs such as energy conservation grants to schools, hospitals and non-profit agencies; Evaluates agency operations and recommends changes in organizational structure and business processes in order to increase productivity; Develops, in consultation with state agencies, quantifiable outcome measures for programs, services and grants administered or provided by state agencies; and Coordinates and integrates the efforts of state agencies in the implementation of cross agency service delivery systems, such as the Governor's High Efficiency Licensing Program initiative, designed to enhance customer service to individuals and businesses.

Outcome Measure:

<u>High Efficiency Licensing Program</u> The Program provides a one-stop source of information for State residents seeking licensing and permitting information.	FY 2000	FY2001	FY2002	FY2003
Number of agencies capable of performing Internet-based electronic licensing transactions	0	1	2	3
Number of fillable forms available on the Connecticut Licensing Info Center Website	80	240	340	440
Number of agencies capable of performing Internet-based electronic licensing transactions	0	1	2	5

Outcome Measure:

<u>Connecticut Partnership for Long Term Care (LTC)</u> The Partnership is a public/private alliance that aims to increase the role private insurance plays in the financing of LTC insurance while constraining the growth of the Medicaid long-term care budget.	FY 2000	FY2001	FY2002	FY2003
Number of individuals attending Partnership public information presentations	3,000	3,300	3,600	4,000
Number of individuals purchasing Partnership LTC insurance policies	4,802	5,284	5,812	6,393

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Fulltime Positions</i>								
General Fund	98	6	0	104	104	104	104	104
Federal Contributions	7	0	0	7	7	7	7	7
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Other Positions Equated to Full Time			5	5	5	5	5	5
General Fund								

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	7,852,157	8,500,598	9,258,502	9,258,502	8,938,962	9,713,925	9,713,925	9,376,355
Other Expenses	267,122	915,218	936,279	936,279	903,331	958,742	958,742	903,324
<u>Other Current Expenses</u>								
Social Services Initiatives	8,845	0	0	0	0	0	0	0
Automated Budget Sys & Data Base Link	80,715	155,304	158,876	158,876	155,304	162,689	162,689	155,304
Drugs Don't Work	475,000	475,000	485,925	485,925	475,000	497,587	497,587	475,000
Leadership, Educ, Athletics-Partnership	1,499,120	2,326,700	2,380,214	2,380,214	1,826,700	2,437,339	2,437,339	1,826,700
Children and Youth Program Development	1,423,008	1,500,000	1,534,500	1,534,500	750,000	1,571,328	1,571,328	750,000
Cash Management Improvement Act	0	100	100	100	100	100	100	100
Truancy Prevention Program	560,000	560,000	572,880	572,880	0	586,629	586,629	0
Justice Assistance Grants	2,921,485	3,146,351	3,868,725	3,868,725	3,368,725	4,288,501	4,288,501	2,288,501
Neighborhood Youth Centers	1,796,310	1,846,107	1,888,567	1,888,567	1,846,107	1,933,893	1,933,893	1,846,107
High Eff Licensing Pgm	187,499	400,000	409,200	409,200	250,000	419,021	419,021	250,000
Boys and Girls Club	350,000	350,000	358,050	358,050	350,000	366,643	366,643	350,000
<u>Pmts to Other Than Local Governments</u>								
Drug Enforcement Program	1,414,345	1,414,348	1,446,878	1,446,878	1,414,348	1,481,603	1,481,603	1,414,348
Private Providers	0	233,702	0	0	0	0	0	0
<u>Pmts to Local Governments</u>								
Drug Enforcement Program	14,550,512	9,801,189	10,853,447	9,456,447	9,266,053	9,840,545	9,659,545	9,266,053
Waste Water Treatmt Facility Host Town	0	250,000	250,000	250,000	0	250,000	250,000	0
TOTAL-General Fund	33,386,118	31,874,617	34,402,143	33,005,143	29,544,630	34,508,545	34,327,545	28,901,792
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	5,645,183	53,632,656	0	0	0	0	0	0
Bond Funds	340,798	772,117	170,000	170,000	170,000	175,000	175,000	175,000
Private Contributions	4,410,989	50,287,362	102,500	102,500	102,500	102,500	102,500	102,500
Federal Contributions								
16523 Juvenile Accountability Grants	618,659	2,500,000	700,000	700,000	700,000	2,294,496	2,294,496	2,294,496
16540 Juvenile Justice & Delinq Prevent	772,042	993,960	974,968	974,968	974,968	957,500	957,500	957,500
16542 Arts Program for Juvenile Offend	258,298	151,693	270,739	270,739	270,739	100,000	100,000	100,000
16548 Title V-Delinquency Prevention	300,000	300,000	107,000	107,000	107,000	240,000	240,000	240,000
16549 PartE-State Challenge Activities	141,169	192,150	293,000	293,000	293,000	183,000	183,000	132,600
16554 Nat'l Criminal History Improvment	111,592	0	0	0	0	500,000	500,000	500,000
16555 Nat'l Sex Offender Reg Asst Pgm	0	400,000	92,250	92,250	92,250	0	0	0
16579 Drug Ctl & Sys Imprv Formula Grt	5,472,781	10,630,291	6,696,495	6,696,495	6,696,495	6,715,054	6,715,054	6,715,054
16586 Violent Offender/Truth in Senten	2,639,136	8,620,550	5,700,624	5,700,624	5,700,624	6,800,000	6,800,000	6,800,000
16588 Violence Against Women Formula	1,437,375	55,575	1,350,000	1,350,000	1,350,000	300,000	300,000	300,000
16589 Rural Dom Violence/Child Victim	50,000	100,000	200,000	200,000	200,000	50,000	50,000	50,000
16590 Gts to Encourage Arrest Policies	836,680	156,300	250,000	250,000	250,000	50,000	50,000	50,000
16591 Comp Approach Sex Offender Mgmt	59,016	90,258	50,000	50,000	50,000	50,000	50,000	50,000
16592 Pre-trial Court Svcs Train & Ed	366,024	1,185,215	3,040,772	3,040,772	3,040,772	1,514,585	1,514,585	1,514,585
16593 Justice Assistance Grants	370,549	867,960	685,000	685,000	685,000	693,318	693,318	490,818
16598 State Identification Sys Grant	279,711	136,204	145,000	145,000	145,000	145,000	145,000	145,000
16727 Combating Underage Drinking	250,000	350,000	110,000	110,000	110,000	260,000	260,000	260,000
20205 Highway Planning & Construction	0	1,564	0	0	0	0	0	0
81039 National Energy Information Ctr	12,190	11,680	12,000	12,000	12,000	12,000	12,000	12,000
81041 State Energy Conservation	691,287	590,307	772,315	772,315	772,315	495,000	495,000	495,000
81052 Energy Conserv Institution Bldgs	0	4,811	0	0	0	0	0	0
81089 Fossil Energy Research & Devel	0	200,000	0	0	0	0	0	0
81111 Alternative Fuel Transportation	0	122,250	122,250	122,250	122,250	0	0	0
83516 Disaster Assistance	193,700	1,500,000	850,000	850,000	850,000	859,513	859,513	859,513
83545 Disaster Housing Program	1,506,015	314,985	0	0	0	0	0	0
84186 Drug Free Schools/Comm-State	360,813	853,765	840,965	840,965	840,965	860,000	860,000	860,000
93623 Runaway and Homeless Youth	140,065	220,935	120,000	120,000	120,000	120,000	120,000	120,000
93643 Childrens Justice Grants to St	5,000	0	0	0	0	0	0	0
99136 Oil Company Overcharge Recovery	1,136,507	1,405,366	1,405,366	1,405,366	1,405,366	826,200	826,200	826,200
TOTAL-All Funds	61,791,697	168,522,571	59,463,387	58,066,387	54,605,874	58,811,711	58,630,711	52,952,058

Policy Dvlpmt, Coord & Implementation

PROGRAM: INTERGOVERNMENTAL POLICY

Statutory Reference:

C.G.S. Section 4-65a

Statement of Need and Program Objectives:

To assist municipalities in improving their operations and finances; initiate and support state policy development with regard to municipalities; administer state tax relief programs and formula grant programs that benefit municipalities; and collect, analyze, and publish municipal data.

Program Description:

The Intergovernmental Policy Division assists in formulating state policy pertaining to the relationship between the state and Connecticut's

municipalities and maintains ongoing relationships with municipal officials; Administers and manage municipal grants and property tax relief programs; Measures the property tax wealth of municipalities used in the distribution of certain state grants; Monitors the fiscal integrity of municipalities through the review of annual financial audits and budgets; and Monitors federal policies and analyze sthe impact of such policies on the state and local governments.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Tax Relief-Elderly and Disabled Renters	28,000	28,500	28,500	29,100
Average Payment (\$)	420	425	430	440
Tax Relief-Elderly & Disabled Homeowners	46,219	47,400	48,600	50,000
Average credit (\$)	457	435	442	440
Elderly Homeowners-Freeze Program	2,916	2,288	1,641	1,144
Average credit (\$)	1,563	1,582	1,544	1,600
Real Estate Sales analyzed each year	77,500	82,000	82,000	82,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	34	3	0	37	37	37	37	37
Federal Contributions	5	2	0	7	7	7	7	7

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,058,255	2,233,895	2,502,463	2,502,463	2,416,095	2,633,976	2,633,976	2,542,442
Other Expenses	52,992	402,550	310,159	310,159	299,244	328,041	328,041	309,080
<i>Other Current Expenses</i>								
NE Connecticut Council of Govt Study	60,000	0	0	0	0	0	0	0
Elderly Renter & Circuit Breaker-Admin	10,000	0	0	0	0	0	0	0
<i>Pmts to Other Than Local Governments</i>								
Regional Planning Agencies	612,000	624,240	638,598	638,598	624,240	653,924	653,924	624,240
Tax Relief for Elderly Renters	11,270,202	12,112,500	12,250,000	12,250,000	12,250,000	12,800,000	12,800,000	12,800,000
<i>Pmts to Local Governments</i>								
Reimb Property Tax-Disability Exempt	394,257	430,000	467,000	430,000	430,000	500,000	450,000	450,000
Distressed Municipalities	4,391,627	5,305,540	6,000,000	6,000,000	6,000,000	6,500,000	6,500,000	6,500,000
Prop Tax Relief Elder-Circuit Breaker	21,142,855	20,600,000	23,600,000	21,500,000	21,500,000	24,750,000	22,000,000	22,000,000
Prop Tax Relief Elderly Freeze Program	4,558,939	4,500,000	2,534,000	2,534,000	2,534,000	1,830,000	1,830,000	1,830,000
Property Tax Relief for Veterans	7,990,153	8,500,000	8,820,000	8,600,000	8,600,000	9,000,000	8,900,000	8,900,000
P.I.L.O.T. New Mfg Machine & Equipment	70,461,567	76,600,000	85,800,000	82,000,000	73,700,000	94,200,000	87,800,000	73,500,000
Interlocal Agreements	67,500	0	208,692	208,692	208,692	213,701	213,701	208,692
One-Time LOCIP Grant	8,532,162	0	0	0	0	0	0	0
TOTAL-General Fund	131,602,509	131,308,725	143,130,912	136,973,912	128,562,271	153,409,642	144,109,642	129,664,454
<i>Additional Funds Available</i>								
Special Funds, Non-Appropriated	95,416	0	0	0	0	0	0	0
Bond Funds	30,606,137	30,000,041	30,000,000	30,000,000	30,000,000	30,000,000	30,000,000	30,000,000
Private Contributions	28,027	77,732	0	0	0	0	0	0
Federal Contributions								
11300 Public Works & Development Facil	0	150,000	150,000	150,000	150,000	0	0	0
16560 Just Rsrch-Devlpmt & Eval Proj	0	7,884	0	0	0	0	0	0
83516 Disaster Assistance	150,785	127,074	0	0	0	0	0	0
TOTAL-All Funds	162,482,874	161,671,456	173,280,912	167,123,912	158,712,271	183,409,642	174,109,642	159,664,454
Intergovernmental Policy								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	12,190,297	12,779,175	14,168,837	13,670,590	14,836,947	14,391,777
Other Positions	207,915	439,194	463,600	463,600	500,500	500,500
Other	332,384	501,808	570,961	570,961	627,688	627,688
Overtime	24,961	30,000	32,400	32,400	34,900	34,900
TOTAL-Personal Services Gross	12,755,557	13,750,177	15,235,798	14,737,551	16,000,035	15,554,865
Less Reimbursements						
Less Turnover	0	0	-579,467	-579,467	-615,850	-615,850
Less General Personal Services Reductions	0	0	0	-133,162	0	-222,670
TOTAL-Personal Services Net	12,755,557	13,750,177	14,656,331	14,024,922	15,384,185	14,716,345
<u>Other Expenses-Contractual Services</u>						
Advertising	5,400	6,000	6,138	6,000	6,285	6,000
Printing And Binding	83,160	126,060	128,959	126,060	132,054	126,060
Dues And Subscriptions	51,004	86,940	88,940	86,940	91,074	86,940
Rents, Storage & Leasing	26,878	29,200	29,872	29,200	30,589	29,200
Telecommunication Services	45,239	45,156	46,195	45,156	47,304	45,156
General Repairs	43,452	48,960	50,087	48,960	51,289	48,960
Motor Vehicle Expenses	20,193	23,140	23,672	23,140	24,239	23,140
Fees For Outside Professional Services	1,087,478	861,740	881,560	861,740	902,717	861,740
Fees For Non-Professional Services	13,496	7,800	7,979	7,800	8,171	7,800
DP Services, Rentals and Maintenance	146,493	258,420	264,363	258,420	270,707	258,420
Postage	54,627	67,910	69,473	67,910	71,140	67,910
Travel	58,438	89,970	92,041	89,970	94,250	89,970
Other Contractual Services	44,665	28,470	29,125	28,470	29,824	28,470
<u>Other Expenses-Commodities</u>						
Agricultural, Horticultural, And Dairy	6,011	5,770	5,903	5,770	6,045	5,770
Books	1,907	3,810	3,898	3,810	3,992	3,810
Maintenance and Motor Vehicle Supplies	2,473	3,060	3,130	3,060	3,204	3,060
Office Supplies	79,752	100,849	103,169	72,060	105,645	72,060
Miscellaneous Commodities	2,544	1,620	1,658	1,620	1,697	1,620
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	-1,238,331	420,000	429,660	220,000	439,973	220,000
TOTAL-Other Expenses Gross	534,879	2,214,875	2,265,822	1,986,086	2,320,199	1,986,086
Less Reimbursements						
TOTAL-Other Expenses Net	534,879	2,214,875	2,265,822	1,986,086	2,320,199	1,986,086
<u>Other Current Expenses</u>						
Para-Olympics	150,000	0	0	0	0	0
Social Services Initiatives	8,845	0	0	0	0	0
Operation Sail 2000	7,150,000	0	0	0	0	0
NE Connecticut Council of Govt Study	60,000	0	0	0	0	0
Automated Budget Sys & Data Base Link	80,715	155,304	158,876	155,304	162,689	155,304
Elderly Renter & Circuit Breaker-Admin	10,000	0	0	0	0	0
Drugs Don't Work	475,000	475,000	485,925	475,000	497,587	475,000
Leadership, Educ, Athletics-Partnership	1,499,120	2,326,700	2,380,214	1,826,700	2,437,339	1,826,700
Children and Youth Program Development	1,423,008	1,500,000	1,534,500	750,000	1,571,328	750,000
Cash Management Improvement Act	0	100	100	100	100	100
Truancy Prevention Program	560,000	560,000	572,880	0	586,629	0
Justice Assistance Grants	2,921,485	3,146,351	3,868,725	3,368,725	4,288,501	2,288,501
Neighborhood Youth Centers	1,796,310	1,846,107	1,888,567	1,846,107	1,933,893	1,846,107
High Eff Licensing Pgm	187,499	400,000	409,200	250,000	419,021	250,000
Boys and Girls Club	350,000	350,000	358,050	350,000	366,643	350,000
Jobs Program Coordinator	100,000	0	0	0	0	0
TOTAL-Other Current Expenses	16,771,982	10,759,562	11,657,037	9,021,936	12,263,730	7,941,712
<u>Pmts to Other Than Local Govts</u>						
Regional Planning Agencies	612,000	624,240	638,598	624,240	653,924	624,240
Tax Relief for Elderly Renters	11,270,202	12,112,500	12,250,000	12,250,000	12,800,000	12,800,000
Drug Enforcement Program	1,414,345	1,414,348	1,446,878	1,414,348	1,481,603	1,414,348
Arts Grants	5,994,100	0	0	0	0	0
Private Providers	0	233,702	0	0	0	0
TOTAL-Pmts to Other Than Local Govts	19,290,647	14,384,790	14,335,476	14,288,588	14,935,527	14,838,588
<u>Pmts to Local Governments</u>						
Reimb Property Tax-Disability Exempt	394,257	430,000	467,000	430,000	500,000	450,000
Distressed Municipalities	4,391,627	5,305,540	6,000,000	6,000,000	6,500,000	6,500,000
Prop Tax Relief Elder-Circuit Breaker	21,142,855	20,600,000	23,600,000	21,500,000	24,750,000	22,000,000
Prop Tax Relief Elderly Freeze Program	4,558,939	4,500,000	2,534,000	2,534,000	1,830,000	1,830,000
Property Tax Relief for Veterans	7,990,153	8,500,000	8,820,000	8,600,000	9,000,000	8,900,000
Drug Enforcement Program	14,550,512	9,801,189	10,853,447	9,266,053	9,840,545	9,266,053

Budget-in-Detail

P.I.L.O.T. New Mfg Machine & Equipment	70,461,567	76,600,000	85,800,000	73,700,000	94,200,000	73,500,000
Interlocal Agreements	67,500	0	208,692	208,692	213,701	208,692
Capital City Economic Development	750,000	750,000	767,250	750,000	785,664	750,000
One-Time LOCIP Grant	8,532,162	0	0	0	0	0
Waste Water Treatmt Facility Host Town	0	250,000	250,000	0	250,000	0
TOTAL-Pmts to Local Governments	132,839,572	126,736,729	139,300,389	122,988,745	147,869,910	123,404,745

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	12,755,557	13,750,177	14,656,331	14,622,599	14,024,922	15,384,185	15,429,766	14,716,345
Other Expenses Net	534,879	2,214,875	2,265,822	2,265,822	1,986,086	2,320,199	2,320,199	1,986,086
Capital Outlay	1,000	1,000	260,000	225,000	1,000	230,000	165,000	1,000
Other Current Expenses	16,771,982	10,759,562	11,657,037	11,657,037	9,021,936	12,263,730	12,263,730	7,941,712
Pmts to Other Than Local Governments	19,290,647	14,384,790	14,335,476	14,335,476	14,288,588	14,935,527	14,935,527	14,838,588
Pmts to Local Governments	132,839,572	126,736,729	139,300,389	131,746,389	122,988,745	147,869,910	138,388,910	123,404,745
TOTAL-General Fund Net	182,193,637	167,847,133	182,475,055	174,852,323	162,311,277	193,003,551	183,503,132	162,888,476
<i>Additional Funds Available</i>								
Special Funds, Non-Appropriated	7,483,622	53,702,307	0	0	0	0	0	0
Bond Funds	32,036,524	31,272,158	30,170,000	30,170,000	30,170,000	30,175,000	30,175,000	30,175,000
Federal Contributions	18,159,394	32,240,777	24,938,744	24,938,744	24,938,744	24,025,666	24,025,666	23,772,766
Private Contributions	6,619,421	50,374,404	102,500	102,500	102,500	102,500	102,500	102,500
TOTAL-All Funds Net	246,492,598	335,436,779	237,686,299	230,063,567	217,522,521	247,306,717	237,806,298	216,938,742

DEPARTMENT OF VETERANS' AFFAIRS

[HTTP://WWW.STATE.CT.US/CTVA/](http://www.state.ct.us/ctva/)

AGENCY DESCRIPTION:

The Department of Veterans' Affairs (DVA) combines a program of advocacy and assistance with the Veterans' Home and Hospital in Rocky Hill. The department's mission is to serve Connecticut veterans by advocating for veterans' interests and assisting them in

obtaining entitlements and benefits through the Office of Advocacy and Assistance program. In addition, the agency provides direct health, social and rehabilitative services through the Veterans' Hospital Services and the Residential and Rehabilitative Services programs.

AGENCY PROGRAM INDEX

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Office of Advocacy and Assistance	138	Residential and Rehabilitative Svcs	140

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	2001-2002	2002-2003
• Reduce Agency Personal Services	-233,368	-380,367
• Transfer Equipment to CEPF	-302,600	-134,100
• Reduce Inflation and Other Miscellaneous Reductions	-62,414	-228,414
• Fund Excess Energy Costs from FY 2001 Surplus	-238,591	-238,591
• Savings Attributable to the UConn Health Center Contract	-225,000	-225,000

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	338	37	0	375	356	356	356	356
Other Positions Equated to Full Time General Fund			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
			Actual	Estimated	Requested	Recommended	Requested	Recommended
			86	96	96	96	96	96

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Office of the Commissioner	12,329,297	12,235,474	13,305,026	13,243,957	12,714,985	13,801,300	13,775,064	13,114,210
Office of Advocacy and Assistance	933,277	1,021,204	991,177	991,949	990,769	1,052,931	1,053,479	1,051,392
Veterans' Health Care Services	15,571,498	16,804,965	16,760,037	16,755,410	16,479,780	17,332,166	17,339,255	17,147,014
Residential and Rehabilitative Svcs	1,717,743	1,895,220	1,935,030	1,936,400	1,891,795	1,987,481	1,988,436	1,978,165
TOTAL Agency Programs - All Funds Gross	30,551,815	31,956,863	32,991,270	32,927,716	32,077,329	34,173,878	34,156,234	33,290,781
Less Turnover	0	0	-250,000	-350,000	-350,000	-250,000	-350,000	-350,000
Less General Personal Services Reduction	0	0	0	0	-211,586	0	0	-341,019
TOTAL Agency Programs - All Funds Net	30,551,815	31,956,863	32,741,270	32,577,716	31,515,743	33,923,878	33,806,234	32,599,762
<u>Summary of Funding</u>								
General Fund Net	27,020,506	28,213,133	29,419,154	29,255,600	28,193,627	30,485,744	30,368,100	29,161,628
Soldiers', Sailors' and Marines' Fund Net	203,280	252,000	247,500	247,500	247,500	247,500	247,500	247,500
Special Funds, Non-Appropriated	271,741	2,250	2,250	2,250	2,250	2,250	2,250	2,250
Private Contributions	3,056,288	3,489,480	3,072,366	3,072,366	3,072,366	3,188,384	3,188,384	3,188,384
TOTAL Agency Programs - All Funds Net	30,551,815	31,956,863	32,741,270	32,577,716	31,515,743	33,923,878	33,806,234	32,599,762

PROGRAM: OFFICE OF THE COMMISSIONER

Statutory Reference:

C.G.S. Section 27-102I through 27-137

Statement of Need and Program Objectives:

To guide the development of agency policy as well as providing administrative direction and support.

To ensure compliance with laws, rules and regulations governing the operations of the department through the establishment, revision and distribution of agency policies and by reviewing the procedures used to implement those policies.

Program Description:

The Office of the Commissioner provides overall administrative support to all agency programs through human resource activities such as personnel and payroll and provides fiscal/administrative services such as: budgeting; accounting; third-party, patient, Medicaid and Medicare

billing; veterans accounts; information technologies support in automated systems planning, development and installation; telecommunications; material management; and administration of grants.

The office makes one-time payments of \$150.00 to apply against the funeral costs of eligible veterans and pays the costs of transporting and erecting headstones provided by the federal government. In addition, the Office of the Commissioner provides comprehensive short and long-term planning services, ensures compliance with affirmative action law and regulation, and is responsible for safety compliance and security.

The commissioner and the Department of Veterans' Affairs have been extremely concerned with the problems of the homeless veteran and have continued outreach efforts that began in 1989. This has resulted in increased admissions each year to the Connecticut Department of

Budget-in-Detail

Veterans' Affairs, most of who are Vietnam era veterans. In September of 2000, the department held its most recent STAND DOWN, whereby veterans, particularly homeless veterans in need of assistance, came to

the Connecticut DVA for the day to take advantage of a variety of services and/or gain admission to the facility.

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Fulltime Positions</i>								
General Fund	141	10	0	151	151	151	151	151
<i>Other Positions Equated to Full Time</i>			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
General Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			6	6	6	6	6	6

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	6,760,007	7,078,756	7,782,642	7,789,124	7,781,704	8,181,432	8,185,974	8,172,545
Other Expenses	3,431,369	3,635,387	3,983,222	3,983,171	3,566,619	4,051,159	4,050,881	3,533,956
<u>Capital Outlay</u>								
Equipment	0	1,000	174,500	107,000	2,000	162,000	131,500	1,000
<u>Other Current Expenses</u>								
Year 2000 Conversion	84,531	0	0	0	0	0	0	0
<u>Pmts to Other Than Local Governments</u>								
Women's Veteran Memorial	50,000	0	0	0	0	0	0	0
World War II Memorial	238,000	0	0	0	0	0	0	0
TOTAL-General Fund	10,563,907	10,715,143	11,940,364	11,879,295	11,350,323	12,394,591	12,368,355	11,707,501
<u>Pmts to Other Than Local Governments</u>								
Burial Expenses	1,200	9,000	4,500	4,500	4,500	4,500	4,500	4,500
Headstones	202,080	243,000	243,000	243,000	243,000	243,000	243,000	243,000
TOTAL-Soldiers', Sailors' and Marines' Fund	203,280	252,000	247,500	247,500	247,500	247,500	247,500	247,500
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	271,741	2,250	2,250	2,250	2,250	2,250	2,250	2,250
Private Contributions	1,290,369	1,266,081	1,114,912	1,114,912	1,114,912	1,156,959	1,156,959	1,156,959
TOTAL-All Funds	12,329,297	12,235,474	13,305,026	13,243,957	12,714,985	13,801,300	13,775,064	13,114,210

Office of the Commissioner

PROGRAM: OFFICE OF ADVOCACY AND ASSISTANCE

Statutory Reference:

C.G.S. Sections 27-102l through 27-137

Statement of Need and Program Objectives:

To provide comprehensive assistance and formal representation to veterans, their spouses and/or eligible dependents in obtaining rights, benefits and privileges to which they may be entitled under federal, state and local laws.

Program Description:

Connecticut has a total veteran population of approximately 300,000 men and women. Federal and state laws relative to the health and financial care of veterans and dependents are varied and complex.

The Office of Advocacy and Assistance (OAA) has offices in each of the six congressional districts and provides advice, assistance and formal representation to the state's veterans in obtaining comprehensive rights, benefits and privileges to which they may be entitled under law. OAA has developed a *Guide to Benefits for Connecticut Veterans* that has been in great demand throughout the state. OAA service officers have assisted thousands of veterans and brought tens of millions in new federal dollars into the state in the form of increased benefits to Connecticut veterans and their families.

These federal benefits for veterans provide a direct savings to the state where the clients are Medicaid recipients and in other cases serve to delay the time when clients may be forced to rely more heavily on state funded services. A substantial portion of the federal benefits gained for Connecticut veterans in previous years continue to be paid.

Under the OAA legislative mandate, the agency prepares studies and collects information concerning facilities and services available to veterans and conducts interviews in health care facilities to ascertain which benefits veterans are receiving or should receive. The agency cooperates with service organizations in disseminating information and furnishing counsel to resident veterans concerning the availability of educational training and retraining facilities; health, medical, rehabilitation and housing facilities and services; employment and reemployment services; and other rights, benefits or privileges. The agency assists in the establishment, preparation, and presentation of claims pursuant to rights, benefits or privileges accruing to veterans; cooperates with all public and private agencies securing or offering services or benefits to veterans; and provides formal representation in disputed claims with the U.S. Department of Veterans' Affairs.

Outcome Measure:

<i>New Federal Veterans' Benefits acquired for Connecticut Veterans, families, and dependents (In Millions):</i>	
Actual SFY 1998	\$13.8
Actual SFY 1999	\$14.4
Actual SFY 2000	\$17.5
Estimated SFY 2001	\$18.0
Projected SFY 2002	\$18.6
Projected SFY 2003	\$19.1

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
Applications filed on behalf of veterans:				
Compensation	358	400	400	400
Pension	266	300	300	300
Death Pension	187	250	250	250

Dependency Indemnity Compensation				14	20	40	40
Burial Benefit				93	100	200	200

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	19	0	0	19	19	19	19	19

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	875,371	949,524	927,147	927,919	927,035	986,573	987,121	985,501
Other Expenses	6,130	6,480	6,629	6,629	6,333	6,788	6,788	6,321
TOTAL-General Fund	881,501	956,004	933,776	934,548	933,368	993,361	993,909	991,822
Additional Funds Available								
Private Contributions	51,776	65,200	57,401	57,401	57,401	59,570	59,570	59,570
TOTAL-All Funds	933,277	1,021,204	991,177	991,949	990,769	1,052,931	1,053,479	1,051,392

Office of Advocacy and Assistance

PROGRAM: VETERANS' HEALTH CARE SERVICES

Statutory Reference:

C.G.S. Sections 27-102l through 27-126

Statement of Need and Program Objectives:

To deliver to Connecticut veterans a responsive system of inpatient and long-term health care and clinical support.

Program Description:

The Veterans' Hospital Services program is a major element of the State Department of Veterans' Affairs. The program fulfills the promise to Connecticut's veterans "To Serve Those Who Served" by offering a progressive, caring, continuum of health care, social, and rehabilitative services dedicated to excellence.

The hospital administrator, director of medicine and director of nursing lead a team of professional health care practitioners. In addition to medicine and nursing, specialty areas include dental; physical, occupational, speech and recreational therapy; laboratory; radiology; and cardiopulmonary. The health information management, pharmacy, and social work departments complete the health care service team.

The hospital is licensed by the State Department of Public Health and accredited by the Joint Commission on Accreditation of Healthcare Organizations for 300 chronic disease beds.

Programs include general medical care, Alzheimer's and related dementia, hospice care, respite care, detox and a formal long-term substance abuse rehabilitation program. Primary care clinics are available in-house for domicile and hospital patients.

The Special Care Unit is designed to provide a safe and supportive environment for veterans in the moderate stages of Alzheimer's disease or similar dementia.

The Respite Care Program offers scheduled, temporary care to eligible veterans who are receiving care at home by family members.

The Hospice Program provides for special medical, psychological, and spiritual needs of the terminally ill.

A veteran requesting care at the Rocky Hill facility must be a resident of the State of Connecticut. A veteran must have a minimum of 90 days service in time of war to be eligible, unless separated from service earlier because of a service-connected disability rated by the Federal Department of Veterans' Affairs (VA). Applications for admission are required in advance. A fact sheet detailing admission requirements is available, along with a general information booklet. Under federal regulations, the Federal Department of Veterans' Affairs partially reimburses the State of Connecticut on a per diem basis for the care of eligible veterans at Rocky Hill. In addition, many veterans receive Federal VA benefits directly as a result of limited assets and their need for medical care. Federal Medicare funds are also generated through the care of hospital patients over 65 years of age and others determined to be eligible. The Veterans' Hospital Services program is a Medicaid provider. A recently developed interdisciplinary group's goal is to facilitate ways to maximize reimbursement to the State of Connecticut by improving patient services, streamlining operational functioning, improving the admissions process and insuring that users get requisite reports. This will result in significant reimbursement to the state and further enhances the capability of the facility at Rocky Hill to provide high quality rehabilitative and long-term care services at a very low net cost to Connecticut taxpayers.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Patient Days in Hospital	68,461	64,000	65,000	65,000
Total Clinic Visits	9,191	9,000	9,250	9,250
Dental Treatments	7,027	7,000	7,150	7,150
Total X-Rays (Films)	4,786	5,000	5,100	5,200
Total Laboratory Analyses	140,369	138,000	139,000	139,000
Cardiopulmonary Tests & Treatments	38,094	38,000	38,500	38,500
Social Work Units of Service Programs	21,279	21,000	21,500	21,500
Pharmacy Transactions:				
Total Medication Orders Processed	129,160	127,500	129,000	129,000
Total Prescriptions Dispensed	70,117	70,000	71,000	71,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Permanent Fulltime Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	154	26	0	180	161	161	161	161

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	80	90	90	90	90	90

Budget-in-Detail

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	11,865,345	12,576,528	12,493,123	12,503,527	12,491,618	13,075,809	13,083,069	13,061,605
Other Expenses	2,166,861	2,290,421	2,388,708	2,388,677	2,281,956	2,485,674	2,485,503	2,314,726
Capital Outlay								
Equipment	0	0	172,000	157,000	0	0	0	0
TOTAL-General Fund	14,032,206	14,866,949	15,053,831	15,049,204	14,773,574	15,561,483	15,568,572	15,376,331
Additional Funds Available								
Private Contributions	1,539,292	1,938,016	1,706,206	1,706,206	1,706,206	1,770,683	1,770,683	1,770,683
TOTAL-All Funds	15,571,498	16,804,965	16,760,037	16,755,410	16,479,780	17,332,166	17,339,255	17,147,014
Veterans' Health Care Services								

PROGRAM: RESIDENTIAL AND REHABILITATIVE SERVICES

Statutory Reference:

C.G.S. Sections 27-102l through 27-126

Statement of Need and Program Objectives:

To provide veterans with a domiciliary level of care, substance abuse treatment, and associated services to facilitate rehabilitation and a return to independent living whenever possible.

Program Description:

The basic philosophy of the Residential and Rehabilitative Services (RRS) program is to facilitate rehabilitation of all its admittees to the greatest extent possible and at the fastest rate possible. This is accomplished through the Veterans Improvement Program (VIP). Rehabilitation includes substance abuse treatment, educational and vocational services, job service and transitional living. The ultimate goal is to return as many patients as possible to society as sober, productive citizens, capable of independent living.

Each admittee is given a battery of aptitude and personality instruments. The results of these instruments, work history, substance abuse history and military record serve as the basis of assessment for program placement. A rehab treatment team comprised of vocational counselors, social workers, the director of residential and rehabilitative services, and substance abuse counselors (if applicable) assist and monitor the progress of each veteran's individualized rehab plan.

The Veterans Educational Center (VEC) is the focal point and catalyst for the VIP. The VEC is a collaboration between the Connecticut DVA, the community-technical colleges of Connecticut, the Center for Business Services at Capitol Community-Technical College, and the Town of Rocky Hill. The mission of these programs is to provide the education, skills-building and support services required for veterans to achieve independence and integration into the community. Job-training certificate programs, college-credit general education courses, and enrichment courses are offered to eligible veterans, along with counseling and job-search skills, under the guidance of a vocational rehabilitation counselor.

The Residential and Rehabilitative Services program also offers a Prospective Apprenticeship Program, a "head start" for those interested in skilled trades, such as plumber, heating technician, electrician, locksmith, painter, mason and more.

The Substance Abuse Rehabilitation Program occupies expanded quarters to accommodate the growing numbers of veterans desiring to take advantage of this service. This multi-faceted program provides

education, motivation, and environmental support for veterans seeking recovery from the effects of substance abuse.

As a result of these efforts, the department has hired nearly two dozen former patients, who have successfully completed their rehabilitative and vocational programs, as full-time employees. The positions range from nurse's aides to food service workers to maintenance personnel. Many of these new employees have even moved on to higher-paying jobs in the private sector, others are continuing their education toward even more skilled positions.

A Transitional Living component is available for those who have completed the VIP courses of treatment and who have obtained full time employment. An Alternative Living facility is available to discharged residents who have successfully completed Transitional Living.

The Domicile is certified by the Federal Department of Veterans' Affairs and has 500 operating beds.

An extensive rehabilitative initiative has been developed within the RRS program. The main goal is to return veterans to their respective communities with the financial, educational and vocational resources to be successful. The department has tracked the percentage of those program participants who have successfully returned to the community:

Outcome Measure:

An extensive rehabilitative initiative has been developed within the RRS program. The main goal is to return veterans to their respective communities with the financial, educational and vocational resources to be successful. The department has tracked the percentage of those program participants who have successfully returned to the community:	
<u>Percentage Returned to the Community</u>	
SFY 1998	20%
SFY 1999	27%
SFY 2000	29%
<u>Projected Percentage Returned to the Community</u>	
SFY 2001	31%
SFY 2002	32%
SFY 2003	33%

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Domicile Occupancy Rate (%)	265/388 (67%)	291/388 (75%)	291/388 (75%)	291/388 (75%)
Veterans' Recovery Unit (%)	68/84 (81%)	76/84 (90%)	76/84 (90%)	76/84 (90%)
Transitional Living Unit (%)	18/23 (77%)	24/26 (90%)	24/26 (90%)	24/26 (90%)
Alternative Living Unit (%)	16/18 (91%)	20/21 (95%)	20/21 (95%)	20/21 (95%)
Home Residence Participating in the VIP Program (If Eligible)(%)	239/265 (90%)	262/291 (90%)	262/291 (90%)	262/291 (90%)

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	24	1	0	25	25	25	25	25

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,492,469	1,621,739	1,646,059	1,647,430	1,645,861	1,726,877	1,727,836	1,725,001
Other Expenses	50,423	53,298	54,524	54,523	52,087	55,832	55,828	51,992
Capital Outlay								
Equipment	0	0	40,600	40,600	0	3,600	3,600	0
TOTAL-General Fund	1,542,892	1,675,037	1,741,183	1,742,553	1,697,948	1,786,309	1,787,264	1,776,993
Additional Funds Available								
Private Contributions	174,851	220,183	193,847	193,847	193,847	201,172	201,172	201,172
TOTAL-All Funds	1,717,743	1,895,220	1,935,030	1,936,400	1,891,795	1,987,481	1,988,436	1,978,165
Residential and Rehabilitative Svcs								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Personal Services						
Permanent Fulltime Positions	14,932,433	16,061,449	16,363,040	16,349,287	17,124,656	17,087,367
Other Positions	2,773,681	2,935,006	3,123,931	3,123,931	3,295,748	3,295,748
Other	2,561,318	2,657,142	2,748,090	2,748,090	2,897,497	2,897,497
Overtime	725,760	583,700	624,910	624,910	664,040	664,040
TOTAL-Personal Services Gross	20,993,192	22,237,297	22,859,971	22,846,218	23,981,941	23,944,652
Less Reimbursements	0	-10,750	-11,000	0	-11,250	0
Less Turnover	0	0	-250,000	-350,000	-250,000	-350,000
Less General Personal Services Reductions	0	0	0	-211,586	0	-341,019
TOTAL-Personal Services Net	20,993,192	22,226,547	22,598,971	22,284,632	23,720,691	23,253,633
Other Expenses-Contractual Services						
Dues And Subscriptions	29,397	31,074	31,789	31,074	32,552	31,074
Utility Services	875,925	925,872	890,322	851,482	888,313	851,482
Rents, Storage & Leasing	134,561	142,234	135,505	142,234	138,757	142,234
General Repairs	196,934	219,524	224,573	219,524	229,962	219,524
Motor Vehicle Expenses	85,375	90,243	92,319	90,243	94,535	90,243
Fees For Outside Professional Services	1,936,371	2,046,735	2,142,973	1,821,735	2,234,085	1,821,735
Fees For Non-Professional Services	306,538	324,018	281,470	324,018	288,225	324,018
DP Services, Rentals and Maintenance	0	0	393,855	385,000	403,308	385,000
Travel	0	65	0	65	0	65
Other Contractual Services	401,722	424,628	434,395	424,628	444,820	424,628
Other Expenses-Commodities						
Agricultural, Horticultural, And Dairy	1,141,734	1,206,828	1,234,585	1,206,828	1,264,215	1,206,828
Law Enforcement, Clothing/Personal Supplies	77,627	82,053	83,940	82,053	85,954	82,053
Maintenance and Motor Vehicle Supplies	318,706	333,870	341,549	321,250	349,745	321,250
Fuel	143,403	151,581	138,789	0	137,794	0
Other Expenses-Sundry						
Sundry - Other Items	6,490	6,861	7,019	6,861	7,188	6,861
TOTAL-Other Expenses Gross	5,654,783	5,985,586	6,433,083	5,906,995	6,599,453	5,906,995
Less Reimbursements						
TOTAL-Other Expenses Net	5,654,783	5,985,586	6,433,083	5,906,995	6,599,453	5,906,995
Other Current Expenses						
Year 2000 Conversion	84,531	0	0	0	0	0
TOTAL-Other Current Expenses	84,531	0	0	0	0	0
Pmts to Other Than Local Govts						
Women's Veteran Memorial	50,000	0	0	0	0	0
World War II Memorial	238,000	0	0	0	0	0
TOTAL-Pmts to Other Than Local Govts	288,000	0	0	0	0	0

AGENCY FINANCIAL SUMMARY - SOLDIERS', SAILORS' AND MARINES' FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Pmts to Other Than Local Govts						
Burial Expenses	1,200	9,000	4,500	4,500	4,500	4,500
Headstones	202,080	243,000	243,000	243,000	243,000	243,000
TOTAL-Pmts to Other Than Local Govts	203,280	252,000	247,500	247,500	247,500	247,500

Budget-in-Detail

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	20,993,192	22,226,547	22,598,971	22,518,000	22,284,632	23,720,691	23,634,000	23,253,633
Other Expenses Net	5,654,783	5,985,586	6,433,083	6,433,000	5,906,995	6,599,453	6,599,000	5,906,995
Capital Outlay	0	1,000	387,100	304,600	2,000	165,600	135,100	1,000
Other Current Expenses	84,531	0	0	0	0	0	0	0
Pmts to Other Than Local Governments	288,000	0	0	0	0	0	0	0
TOTAL-General Fund Net	27,020,506	28,213,133	29,419,154	29,255,600	28,193,627	30,485,744	30,368,100	29,161,628
Pmts to Other Than Local Governments	203,280	252,000	247,500	247,500	247,500	247,500	247,500	247,500
TOTAL-Soldiers', Sailors' and Marines' Fund Net	203,280	252,000	247,500	247,500	247,500	247,500	247,500	247,500
<i>Additional Funds Available</i>								
Special Funds, Non-Appropriated	271,741	2,250	2,250	2,250	2,250	2,250	2,250	2,250
Private Contributions	3,056,288	3,489,480	3,072,366	3,072,366	3,072,366	3,188,384	3,188,384	3,188,384
TOTAL-All Funds Net	30,551,815	31,956,863	32,741,270	32,577,716	31,515,743	33,923,878	33,806,234	32,599,762

OFFICE OF WORKFORCE COMPETITIVENESS

AGENCY DESCRIPTION:

The Office of Workforce Competitiveness (OWC) was established in law by PA 00-192. The Act recognizes how essential a skilled workforce is to Connecticut's continued economic health and development. The OWC, headed by a Director who reports directly to the Governor, provides: liaison between the Governor and various federal, state and local entities involved in workforce development issues; staff support to the Connecticut Employment and Training Commission (CETC) and the Governor's JOBS Cabinet

The CETC, which is a partnership of appointed public and private sector volunteers, oversees the development of statewide workforce investment policy. The Governor's JOBS Cabinet guides the implementation of integrated, coordinated, multi-agency education and training programs and services that are responsive to customers and labor force needs. A major task of the OWC is to oversee implementation of the federal Workforce Investment Act of 1998 on behalf of the Governor, the JOBS Cabinet and the CETC.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Reduce Inflation and Other Miscellaneous Reductions
- Reduce CETC Workforce Initiatives

2001-2002 **2002-2003**

-8,874 -19,924

-134,505 -278,083

-670,000 -670,000

Appropriations From FY 2001 Surplus

- Provide \$5.0 Million for Jobs Funnel

This initiative will expand the Hartford Jobs Funnel model of employment and training services to low income individuals in New Haven, Bridgeport, and Waterbury. The services provided include remedial training and on the job apprenticeships, primarily in the construction trades. The surplus funding will provide \$2.5 million in each year of the biennium for the expansion.

- Provide \$5.0 Million for Two Years of Funding for School to Work

Restructure the school to career program by establishing a public/private intermediary to be responsible for raising corporate contributions to match the State's investment, and become self-sufficient after the two-year period.

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions

General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	0	0	5	5	5	5	5	5

Agency Programs by Total Funds (Net of Reimbursements)

Office of Workforce Competitiveness	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Office of Workforce Competitiveness	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969
TOTAL Agency Programs - All Funds Gross	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969
<u>Summary of Funding</u>								
General Fund Net	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969
TOTAL Agency Programs - All Funds Net	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969

PROGRAM: OFFICE OF WORKFORCE COMPETITIVENESS

Statutory Reference:

PA 00-192

Statement of Need and Program Objectives:

To assist in the development of a comprehensive, statewide employment statistics system to inform state planning and policy and support user-friendly and comprehensive labor market information.

Program Description:

The Office of Workforce Competitiveness (OWC) tests and demonstrates model workforce development strategies to improve programs and services for youths, students, job seekers, workers and employers; and assists the Workforce Investment Boards, the CETC and the JOBS Cabinet, in building their capacity to meet the various

requirements and responsibilities of the Workforce Investment Act (WIA).

On behalf of the CETC and the JOBS Cabinet, the office: supports and guides a workforce development strategic planning initiative involving the higher education community and the state's employers, that includes the use of occupational demand information to inform curriculum design, the application of distance learning technologies and the expanded use of certificate programs for incumbent workers; Coordinates the implementation of a comprehensive and integrated strategy for workforce and career development specific to Connecticut's youth with particular attention to those who are at-risk, out of school or involved with the justice system; and Coordinates and facilitates the design, development and implementation of a comprehensive One-Stop delivery system in the State of Connecticut.

Budget-in-Detail

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	0	0	5	5	5	5	5	5

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	500,000	646,237	503,226	494,352	679,083	529,093	509,169
Other Expenses	0	475,000	510,305	510,305	500,000	521,302	521,302	500,000
<u>Capital Outlay</u>								
Equipment	0	0	1,800	1,800	1,800	1,800	1,800	1,800
<u>Other Current Expenses</u>								
CETC Workforce	0	5,130,000	5,524,200	5,524,200	4,730,000	5,656,781	5,656,781	4,730,000
TOTAL-General Fund	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969

Office of Workforce Competitiveness

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	0	360,544	455,517	494,352	473,108	509,169
Other Positions	0	127,783	177,472	0	190,472	0
Other	0	11,673	13,248	0	15,503	0
TOTAL-Personal Services Gross	0	500,000	646,237	494,352	679,083	509,169
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	0	500,000	646,237	494,352	679,083	509,169
<u>Other Expenses-Contractual Services</u>						
Advertising	0	3,600	3,683	3,600	3,771	3,600
Dues And Subscriptions	0	5,000	5,115	5,000	5,238	5,000
Rents, Storage & Leasing	0	59,500	59,673	59,500	59,857	59,500
Telecommunication Services	0	10,200	10,435	10,200	10,685	10,200
Fees For Outside Professional Services	0	372,500	406,643	397,500	416,402	397,500
Fees For Non-Professional Services	0	2,000	2,046	2,000	2,095	2,000
Postage	0	5,000	5,115	5,000	5,238	5,000
Travel	0	9,800	10,025	9,800	10,265	9,800
<u>Other Expenses-Commodities</u>						
Books	0	100	102	100	104	100
Office Supplies	0	7,300	7,468	7,300	7,647	7,300
TOTAL-Other Expenses Gross	0	475,000	510,305	500,000	521,302	500,000
Less Reimbursements						
TOTAL-Other Expenses Net	0	475,000	510,305	500,000	521,302	500,000
<u>Other Current Expenses</u>						
CETC Workforce	0	5,130,000	5,524,200	4,730,000	5,656,781	4,730,000
TOTAL-Other Current Expenses	0	5,130,000	5,524,200	4,730,000	5,656,781	4,730,000

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services Net	0	500,000	646,237	503,226	494,352	679,083	529,093	509,169
Other Expenses Net	0	475,000	510,305	510,305	500,000	521,302	521,302	500,000
Capital Outlay	0	0	1,800	1,800	1,800	1,800	1,800	1,800
Other Current Expenses	0	5,130,000	5,524,200	5,524,200	4,730,000	5,656,781	5,656,781	4,730,000
TOTAL-General Fund Net	0	6,105,000	6,682,542	6,539,531	5,726,152	6,858,966	6,708,976	5,740,969

DEPARTMENT OF ADMINISTRATIVE SERVICES

[HTTP://WWW.DAS.STATE.CT.US/](http://www.das.state.ct.us/)

AGENCY DESCRIPTION:

The Department of Administrative Services (DAS) offers policy direction and support to Connecticut's state agencies in the following ways: Coordinates the purchase of goods and services; Provides document management services; Responsible for statewide Human Resources Administration; Distributes surplus property and federally donated

foods; Manages the state's fleet of vehicles; Investigates and collects money owed for care received in state institutions; Offers assistance in communications, affirmative action, human resources, and fiscal services.

AGENCY PROGRAM INDEX

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RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	2001-2002	2002-2003
• Reduce Agency Personal Services	-227,703	-359,413
• Transfer Equipment to CEPF	-289,000	-269,000
• Reduce Inflation and Other Miscellaneous Reductions	-430,628	-642,299
• Continue FY 2001 Allotment Recision	-19,950	-19,950

Appropriations From FY 2001 Surplus

- Provide \$50,000 in Each Year of the Biennium to Replace Federal Funds for the Governor's Career Internship Program

AGENCY PROGRAMS:

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	282	30	0	312	312	312	312	312
Special Funds, Non-Appropriated	13	0	4	17	17	17	17	17
General Services	97	0	13	110	110	110	110	110
Private Contributions	4	0	0	4	4	4	4	4
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			34	44	44	44	44	44
Special Funds, Non-Appropriated			2	2	2	2	2	2
General Services			9	9	9	9	9	9
Private Contributions			4	4	4	4	4	4
<i>Agency Programs by Total Funds (Net of Reimbursements)</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Office of the Commissioner	1,483,530	2,270,743	2,785,007	2,201,432	2,064,042	2,954,521	2,314,147	2,142,452
Human Resources	11,854,110	10,816,872	12,120,543	11,987,661	11,672,062	12,652,526	12,352,154	11,887,914
Financial Services Center	7,185,625	7,178,338	8,307,390	8,235,840	8,222,283	8,705,386	8,630,573	8,602,546
Strategic Leadership Center	6,471,447	4,387,420	5,625,165	5,196,781	4,884,341	5,824,217	5,422,524	5,105,065
Business Enterprises	33,517,707	33,213,809	33,611,359	33,530,476	33,520,990	33,778,365	33,695,194	33,675,582
TOTAL Agency Programs - All Funds Gross	60,512,419	57,867,182	62,449,464	61,152,190	60,363,718	63,915,015	62,414,592	61,413,559
Less Turnover	0	0	-213,000	-550,000	-900,000	-220,000	-557,000	-907,000
Less General Personal Services Reduction	0	0	0	0	-178,809	0	0	-289,629
TOTAL Agency Programs - All Funds Net	60,512,419	57,867,182	62,236,464	60,602,190	59,284,909	63,695,015	61,857,592	60,216,930
<i>Summary of Funding</i>								
General Fund Net	29,231,605	27,005,927	31,421,320	29,787,046	28,469,765	32,864,871	31,027,448	29,386,786
General Services	30,441,012	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144
Federal Contributions	569,749	178,151	125,000	125,000	125,000	130,000	130,000	130,000
Private Contributions	270,053	252,960	260,000	260,000	260,000	270,000	270,000	270,000
TOTAL Agency Programs - All Funds Net	60,512,419	57,867,182	62,236,464	60,602,190	59,284,909	63,695,015	61,857,592	60,216,930

PROGRAM: OFFICE OF THE COMMISSIONER

Statutory Reference:

C.G.S. Sections 4a-1, 4a-2

Statement of Need and Program Objectives:

To direct and support the DAS business centers and to provide communications and affirmative action services as well as legal and business advice.

Budget-in-Detail

Program Description:

The Communications Office provides communications and media support to all DAS businesses and to numerous other state agencies.

The Business Advisory Group provides legal support to DAS, employment policy information and affirmative action services to other

state agencies, and works with the Human Resources Business Center to provide training to state agencies through the Human Resources Learning Center.

Personnel Summary

	As of 06/30/2000			2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	
Permanent Fulltime Positions									
General Fund	13	5	0	18	18	18	18	18	18

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003	
General Fund		<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund		4	4	4	4	4	4	4	4

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,209,483	1,793,068	2,002,625	1,711,192	1,662,298	2,153,336	1,810,492	1,740,708
Other Expenses	266,648	477,675	482,382	490,240	401,744	501,185	503,655	401,744
<u>Other Current Expenses</u>								
ADA Accomodation and Training	0	0	300,000	0	0	300,000	0	0
New Collections Projects	7,399	0	0	0	0	0	0	0
TOTAL-General Fund	1,483,530	2,270,743	2,785,007	2,201,432	2,064,042	2,954,521	2,314,147	2,142,452
Office of the Commissioner								

PROGRAM: HUMAN RESOURCES BUSINESS CENTER

Statutory Reference:

C.G.S. Section 5-200

Statement of Need and Program Objectives:

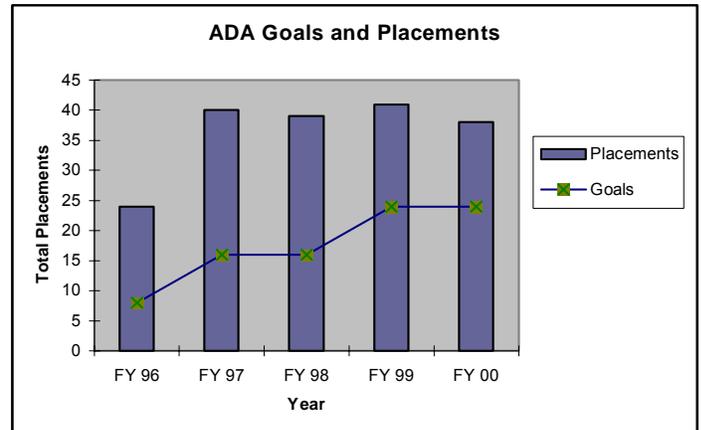
To assist state agencies through the delivery of cost effective, innovative and timely human resource services and products.

Program Description:

The Human Resources Business Center is responsible for the following:

Designing and managing human resource systems; Administering the statewide Workers' Compensation System; and Providing comprehensive support services in the areas of organizational design, classification, staffing, objective job evaluation, compensation, human resource planning, workforce development and administration of human resource laws and regulations.

Outcome Measure:



Program Measure

ADA placements against goals
Workers Compensation payments - all agencies

1999-2000	2000-2001	2001-2002	2002-2003
<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
	38	24	24
51M	54.1M	51M	51M

Personnel Summary

	As of 06/30/2000			2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	
Permanent Fulltime Positions									
General Fund	60	7	0	67	67	67	67	67	
Special Funds, Non-Appropriated	1	0	0	1	1	1	1	1	
Private Contributions	4	0	0	4	4	4	4	4	

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003	
General Fund		<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund		11	10	10	10	10	10	10	
Private Contributions		4	4	4	4	4	4	4	

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	4,153,208	3,393,367	4,368,252	4,415,252	4,415,252	4,577,104	4,621,104	4,621,104
Other Expenses	382,674	434,152	472,283	444,141	434,152	490,362	454,800	434,152
<u>Other Current Expenses</u>								
Labor - Management Fund	4,847	0	0	0	0	0	0	0
Loss Control Risk Management	588,511	705,000	705,000	705,000	537,250	705,000	705,000	537,250

Employees' Review Board	54,018	64,000	64,000	64,000	55,400	64,000	64,000	55,400
Placement and Training	472,548	0	0	0	0	0	0	0
Quality of Work-Life	427,232	350,000	350,000	350,000	350,000	350,000	350,000	350,000
W. C. Administrator	5,553,004	5,620,008	5,901,008	5,749,268	5,620,008	6,196,060	5,887,250	5,620,008
Automated Personnel System	5,724	0	0	0	0	0	0	0
New Collections Projects	101	0	0	0	0	0	0	0
TOTAL-General Fund	11,641,867	10,566,527	11,860,543	11,727,661	11,412,062	12,382,526	12,082,154	11,617,914
<u>Additional Funds Available</u>								
Private Contributions	212,243	250,345	260,000	260,000	260,000	270,000	270,000	270,000
TOTAL-All Funds	11,854,110	10,816,872	12,120,543	11,987,661	11,672,062	12,652,526	12,352,154	11,887,914

Human Resources**PROGRAM: FINANCIAL SERVICES CENTER****Statutory Reference:**

C.G.S. Section 4a-12

Statement of Need and Program Objectives:

To provide comprehensive financial management services to DAS as well as to small agencies and to maximize revenue through the collection of money owed the state.

Program Description:

The Financial Services Center is responsible for the following:

Providing budgeting, accounting, purchasing, property management, grants administration and Master Insurance services to DAS, small agencies and in some instances, Local Housing Authorities; Capturing

revenue by investigating, billing and collecting for services provided by the Department of Mental Health and Addiction Services, the Department of Children and Families, the Department of Mental Retardation, the Department of Veterans' Affairs as well as the Department of Education's School Based Child Health Program; Administering approximately 1200 trust accounts on behalf of individuals residing in state facilities; and Capturing the re-payment of public assistance benefits paid by the Department of Social Services through the filing of liens against causes of action and the filing of claims against estates of current and past recipients of aid.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Dollars collected (in millions)	654	662	642	646
Cost per dollar collected	0.004	0.005	0.004	0.004

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	125	13	0	138	138	138	138	138
Special Funds, Non-Appropriated	12	0	2	14	14	14	14	14
<i>Other Positions Equated to Full Time</i>								
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			8	11	11	11	11	11
Special Funds, Non-Appropriated			2	2	2	2	2	2

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	6,426,344	6,485,184	7,645,957	7,580,957	7,580,957	8,030,220	7,961,220	7,961,220
Other Expenses	687,187	589,326	609,433	602,883	589,326	623,166	617,353	589,326
<u>Other Current Expenses</u>								
Refunds of Collections	45,000	45,000	52,000	52,000	52,000	52,000	52,000	52,000
TOTAL-General Fund	7,158,531	7,119,510	8,307,390	8,235,840	8,222,283	8,705,386	8,630,573	8,602,546
<u>Additional Funds Available</u>								
Private Contributions	25,143	2,615	0	0	0	0	0	0
Federal Contributions								
34002 Labor Management Cooperation	1,951	56,213	0	0	0	0	0	0
TOTAL-All Funds	7,185,625	7,178,338	8,307,390	8,235,840	8,222,283	8,705,386	8,630,573	8,602,546

Financial Services Center**PROGRAM: STRATEGIC LEADERSHIP CENTER****Statutory Reference:**

C.G.S. Sections 4a-2and 5-199c

Statement of Need and Program Objectives:

To support and encourage continuous quality improvement throughout DAS by coordinating strategic planning activities, applying quality improvement tools and methods, developing and tracking performance measures and standards, auditing agency programs and developing and implementing management information solutions.

Program Description:

The core functions of the Strategic Leadership Center are as follows:

Coordinating Human Resources strategic planning activities in an effort to anticipate and meet the personnel requirements of state agencies; Developing and updating the agency business plan; Applying process and quality improvement techniques and practices including project management, process mapping, and assessing and improving customer satisfaction; Measuring agency performance, by working with the business centers, to develop measures and standards and monitor the results on an agency level; Providing MIS support and automation solutions, by working with the Department of Information Technology (during the transition of MIS responsibilities); and Auditing internal operations, tracking progress and monitoring follow-up activities on recommendations made by the auditor's of public accounts.

Budget-in-Detail

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Employee satisfaction - % of DAS employees who are satisfied or very satisfied	N/A	53%	68%	70%
DAS customer satisfaction - % agency customers satisfied	90%	94%	>90%	>90%

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	45	3	0	48	48	48	48	48
Special Funds, Non-Appropriated	0	0	2	2	2	2	2	2

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	5	11	11	11	11	11

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	2,852,072	3,367,366	3,789,287	3,724,287	3,724,287	4,014,011	3,945,011	3,945,011
Other Expenses	825,612	1,019,054	1,205,878	1,042,494	1,019,054	1,163,206	1,067,513	1,019,054
<i>Capital Outlay</i>								
Equipment	1,000	1,000	490,000	290,000	1,000	507,000	270,000	1,000
<i>Other Current Expenses</i>								
Hospital Billing System	556,146	0	140,000	140,000	140,000	140,000	140,000	140,000
Automated Personnel System	1,698,411	0	0	0	0	0	0	0
Year 2000 Conversion	538,206	0	0	0	0	0	0	0
TOTAL-General Fund	6,471,447	4,387,420	5,625,165	5,196,781	4,884,341	5,824,217	5,422,524	5,105,065
Strategic Leadership Center								

PROGRAM: BUSINESS ENTERPRISES

Statutory Reference:

C.G.S. Sections 4a-4, 4a-5, 4a-50, 4a-51, 4a-67 and 4a-68

Statement of Need and Program Objectives:

To design, produce and deliver high quality, cost effective support services and products.

Program Description:

The core functions of the Business Enterprises Business Center are as follows:

Managing the statewide procurement of goods and services and related activities such as contract administration, quality assurance,

and advocacy for small and minority businesses; Providing vehicles to state agencies and establishing fleet policies; Providing Document Management services including distribution and metering of US Postal Service mail, courier service for interdepartmental mail, and printing, duplicating and addressing services; Distributing federally donated foods to schools and charitable institutions; and Operating the Property Distribution Center, which recycles and disposes of surplus state property and distributes federal surplus property to state agencies, municipalities, and eligible non-profit organizations.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
% small and minority business contracts		12.67%	25%	25%

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	39	2	0	41	41	41	41	41
General Services	97	0	13	110	110	110	110	110

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	6	8	8	8	8	8
General Services	9	9	9	9	9	9

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	2,114,459	2,249,390	2,593,509	2,528,509	2,528,509	2,747,101	2,678,101	2,678,101
Other Expenses	361,771	412,337	462,706	446,823	437,337	471,120	456,949	437,337
TOTAL-General Fund	2,476,230	2,661,727	3,056,215	2,975,332	2,965,846	3,218,221	3,135,050	3,115,438
<i>Additional Funds Available</i>								
General Services	30,441,012	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144
Private Contributions	32,667	0	0	0	0	0	0	0
Federal Contributions								
10550 Food Distribution	567,798	121,938	125,000	125,000	125,000	130,000	130,000	130,000
TOTAL-All Funds	33,517,707	33,213,809	33,611,359	33,530,476	33,520,990	33,778,365	33,695,194	33,675,582
Business Enterprises								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003		
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>		
<i>Personal Services</i>								
Permanent Fulltime Positions	15,288,780	15,411,422	18,153,248	17,864,921	19,087,689	18,762,061		
Other Positions	902,175	1,210,941	1,290,365	1,318,365	1,372,000	1,400,000		
Other	453,461	677,012	955,017	727,017	1,049,083	771,083		
Overtime	111,150	100,000	113,000	113,000	126,000	126,000		
TOTAL-Personal Services Gross	16,755,566	17,399,375	20,511,630	20,023,303	21,634,772	21,059,144		
Less Reimbursements	0	-111,000	-112,000	-112,000	-113,000	-113,000		
Less Turnover	0	0	-213,000	-900,000	-220,000	-907,000		
Less General Personal Services Reductions	0	0	0	-178,809	0	-289,629		
TOTAL-Personal Services Net	16,755,566	17,288,375	20,186,630	18,832,494	21,301,772	19,749,515		
<i>Other Expenses-Contractual Services</i>								
Advertising	170,917	177,867	181,958	177,867	186,326	177,867		
Printing And Binding	126,663	188,850	203,407	188,850	204,737	188,850		
Dues And Subscriptions	65,228	25,900	28,881	25,900	29,395	25,900		
Utility Services	60,998	0	0	0	0	0		
Rents, Storage & Leasing	101,175	112,574	115,163	112,574	117,927	112,574		
Telecommunication Services	93,983	92,075	94,193	92,075	96,453	92,075		
General Repairs	38,324	39,900	40,818	39,900	41,798	39,900		
Motor Vehicle Expenses	45,315	48,900	50,025	48,900	51,226	48,900		
Fees For Outside Professional Services	299,742	419,770	934,000	840,219	975,500	860,219		
Fees For Non-Professional Services	367,394	349,540	362,550	349,540	371,068	349,540		
DP Services, Rentals and Maintenance	432,707	484,000	644,659	484,000	596,054	484,000		
Postage	70,093	77,250	79,027	77,250	80,924	77,250		
Travel	90,496	99,225	115,268	99,225	117,435	99,225		
Other Contractual Services	40,610	50,150	51,306	50,150	52,537	50,150		
<i>Other Expenses-Commodities</i>								
Agricultural, Horticultural, And Dairy	14,075	16,000	16,368	16,000	16,761	16,000		
Books	15,205	15,000	15,346	15,000	15,713	15,000		
Law Enforcement, Clothing/Personal Supplies	2,194	500	512	500	524	500		
Maintenance and Motor Vehicle Supplies	10,192	11,700	11,970	11,700	12,256	11,700		
Medical Supplies	2,555	3,610	3,693	3,610	3,782	3,610		
Fuel	10,465	0	0	0	0	0		
Office Supplies	261,562	259,201	265,164	259,201	271,529	259,201		
Miscellaneous Commodities	13,578	6,600	6,856	6,600	7,020	6,600		
<i>Other Expenses-Sundry</i>								
Sundry - Other Items	190,421	522,552	576,518	547,552	585,074	547,552		
TOTAL-Other Expenses Gross	2,523,892	3,001,164	3,797,682	3,446,613	3,834,039	3,466,613		
Less Reimbursements	0	-68,620	-565,000	-565,000	-585,000	-585,000		
TOTAL-Other Expenses Net	2,523,892	2,932,544	3,232,682	2,881,613	3,249,039	2,881,613		
<i>Other Current Expenses</i>								
Labor - Management Fund	4,847	0	0	0	0	0		
Loss Control Risk Management	588,511	705,000	705,000	537,250	705,000	537,250		
Employees' Review Board	54,018	64,000	64,000	55,400	64,000	55,400		
Placement and Training	472,548	0	0	0	0	0		
Quality of Work-Life	427,232	350,000	350,000	350,000	350,000	350,000		
Refunds of Collections	45,000	45,000	52,000	52,000	52,000	52,000		
ADA Accomodation and Training	0	0	300,000	0	300,000	0		
W. C. Administrator	5,553,004	5,620,008	5,901,008	5,620,008	6,196,060	5,620,008		
Hospital Billing System	556,146	0	140,000	140,000	140,000	140,000		
Automated Personnel System	1,704,135	0	0	0	0	0		
New Collections Projects	7,500	0	0	0	0	0		
Year 2000 Conversion	538,206	0	0	0	0	0		
TOTAL-Other Current Expenses	9,951,147	6,784,008	7,512,008	6,754,658	7,807,060	6,754,658		
<i>Character & Major Object Summary</i>								
	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	16,755,566	17,288,375	20,186,630	19,410,197	18,832,494	21,301,772	20,458,928	19,749,515
Other Expenses Net	2,523,892	2,932,544	3,232,682	3,026,581	2,881,613	3,249,039	3,100,270	2,881,613
Capital Outlay	1,000	1,000	490,000	290,000	1,000	507,000	270,000	1,000
Other Current Expenses	9,951,147	6,784,008	7,512,008	7,060,268	6,754,658	7,807,060	7,198,250	6,754,658
TOTAL-General Fund Net	29,231,605	27,005,927	31,421,320	29,787,046	28,469,765	32,864,871	31,027,448	29,386,786
<i>Additional Funds Available</i>								
General Services	30,441,012	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144	30,430,144
Federal Contributions	569,749	178,151	125,000	125,000	125,000	130,000	130,000	130,000
Private Contributions	270,053	252,960	260,000	260,000	260,000	270,000	270,000	270,000
TOTAL-All Funds Net	60,512,419	57,867,182	62,236,464	60,602,190	59,284,909	63,695,015	61,857,592	60,216,930

DEPARTMENT OF INFORMATION TECHNOLOGY

AGENCY DESCRIPTION:

The Department of Information Technology (DOIT) was created in July 1997 to provide statewide leadership in the effective use of information technology (IT), to build a statewide IT infrastructure to support the integration of information systems, and to direct the development of IT systems to meet business needs from a statewide perspective.

DOIT's mission is to effectively manage information technology in the State to ensure that the state's use of technology maximizes the effectiveness of core state programs and takes full advantage of all efficiencies which current and future technology may provide.

RECOMMENDED SIGNIFICANT CHANGES

	<u>2001-2002</u>	<u>2002-2003</u>
Reductions to Current Services		
• Reduce Agency Personal Services	-98,343	-123,713
• Transfer Equipment to CEPF	-6,500	-6,500
• Reduce Inflation and Other Miscellaneous Reductions	-27,046	-57,720
• Continue to fund the Commission for Educational Technology and the Administration for the Commission from Surplus Funds	-240,000	-240,000
Within Current Services		
• Fund Lease Costs	5,006,000	5,006,000
<i>This includes the transfer of \$2,895,000 in lease costs from the Department of Public Works and an additional annualization amount of \$2,111,000.</i>		
Appropriations From FY 2001 Surplus		
• Provide \$8.0 Million for Health Insurance Portability and Accountability Act (HIPAA) Implementation from the FY 2001 Surplus		
• Provide \$10.0 Million for School Wiring and \$10.0 Million for Two Years of Funding for the Education Network from the FY 2001 Surplus		

AGENCY PROGRAMS:

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	18	0	0	18	18	18	18	18
Technical Services	185	0	88	273	273	273	273	273
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	1	1	1	1	1
Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Information and Technology	58,331,373	71,424,053	83,309,784	77,848,538	77,561,868	85,255,418	79,684,670	79,353,024
TOTAL Agency Programs - All Funds Gross	58,331,373	71,424,053	83,309,784	77,848,538	77,561,868	85,255,418	79,684,670	79,353,024
Less Turnover	0	0	0	0	-70,000	0	0	-72,000
Less General Personal Services Reduction	0	0	0	0	-15,219	0	0	-24,287
TOTAL Agency Programs - All Funds Net	58,331,373	71,424,053	83,309,784	77,848,538	77,476,649	85,255,418	79,684,670	79,256,737
Summary of Funding								
General Fund Net	3,306,947	3,182,589	13,567,241	8,105,995	7,734,106	13,839,054	8,268,306	7,840,373
Technical Services	55,024,426	68,241,464	69,742,543	69,742,543	69,742,543	71,416,364	71,416,364	71,416,364
TOTAL Agency Programs - All Funds Net	58,331,373	71,424,053	83,309,784	77,848,538	77,476,649	85,255,418	79,684,670	79,256,737

PROGRAM: INFORMATION AND TECHNOLOGY

Statutory Reference:

Public Act 97-9, June 18 Special Session

Statement of Need and Program Objectives:

To establish the State of Connecticut as a leader in the effective use of information technology (IT); To direct the development of IT systems to meet the common business and technology needs of multiple state agencies; To consolidate technologies and IT services and establish statewide technology standards; To build an information infrastructure for the use of citizens and public agencies.

Program Description:

The Department of Information Technology has responsibility for the planning of agency telecommunications and information systems and advising agencies on the use of information technology in meeting business objectives.

In discharging its responsibilities, the Department: Develops statewide technology standards for incorporation into agency technology

operations and planning, which will ensure consistency across the enterprise, minimize incompatibility between state agency technology systems and improve the state's ability to use new technologies to improve operations in a cost-effective manner; Plays a leadership role in a long-term overhaul of the state's core financial systems, which will integrate human-resource, payroll, and financial work for all agencies; Plays a leadership role in the creation of a statewide education network to provide schools with access to educational resources via a high-speed network; Develops technology solutions by working with agencies to meet administrative needs such as time and attendance, accounting, and telephone billing; and Provides central computer processing and mainframe support and other forms of technology support including local/wide area networks, data warehousing and information centers.

The Department is focussing on building, developing and applying resources to deliver web-enabled services to state agencies and the public.

Program Measure

	1999-2000 <u>Actual</u>	2000-2001 <u>Estimated</u>	2001-2002 <u>Projected</u>	2002-2003 <u>Projected</u>
Internet Service and Usage				
State E-mail Accounts	6,000	19,000	29,000	39,000
E-mail Processed (millions per year)	15.6	20.8	30.0	36.0
Search Engine Inquiries	10,000/day	15,000/day	30,000/day	36,000/day
Increasing Storage and Processing Capacity				
Millions of Instructions Per Second (MIPS) Capability	240	480	570	660
Total bandwidth available in the DOIT Enterprise Network (Mbps)	393,307,200	650,035,200	975,035,200	1,300,035,300
Total number of IP devices in the DOIT Enterprise Network	33,425	41,850	63,850	85,850
Total number of Routers in the Network	224	426	550	700

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	18	0	0	18	18	18	18	18
Technical Services	185	0	88	273	273	273	273	273
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	1	1	1	1	1

Financial Summary

	1999-2000 <u>Actual</u>	2000-2001 <u>Estimated</u>	2001-2002 <u>Requested</u>	Current <u>Services</u>	2001-2002 <u>Recommended</u>	2002-2003 <u>Requested</u>	Current <u>Services</u>	2002-2003 <u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,518,813	1,599,952	1,706,044	1,701,272	1,688,148	1,784,555	1,779,783	1,752,357
Other Expenses	370,565	78,338	5,086,097	4,204,703	4,202,944	5,088,005	4,206,611	4,202,944
<u>Capital Outlay</u>								
Equipment	2,000	2,000	10,000	7,500	1,000	10,000	7,500	1,000
<u>Other Current Expenses</u>								
CT Education Technology Initiatives	0	0	4,562,580	0	0	4,672,082	0	0
Automated Personnel System	0	1,502,299	1,957,000	1,947,000	1,927,233	2,033,000	2,023,000	1,980,359
Commission for Educational Technology	0	0	122,760	122,760	0	125,706	125,706	0
Admin-Comm Educational Technology	0	0	122,760	122,760	0	125,706	125,706	0
Year 2000 Conversion	1,415,569	0	0	0	0	0	0	0
TOTAL-General Fund	3,306,947	3,182,589	13,567,241	8,105,995	7,819,325	13,839,054	8,268,306	7,936,660
<u>Additional Funds Available</u>								
Technical Services	55,024,426	68,241,464	69,742,543	69,742,543	69,742,543	71,416,364	71,416,364	71,416,364
TOTAL-All Funds	58,331,373	71,424,053	83,309,784	77,848,538	77,561,868	85,255,418	79,684,670	79,353,024

Information and Technology**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	1999-2000 <u>Actual</u>	2000-2001 <u>Estimated</u>	2001-2002 <u>Requested</u>	2001-2002 <u>Recommended</u>	2002-2003 <u>Requested</u>	2002-2003 <u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	1,453,736	1,513,182	1,614,806	1,596,910	1,688,526	1,656,328
Other Positions	24,149	26,425	27,218	27,218	28,034	28,034
Other	40,928	60,345	64,020	64,020	67,995	67,995
TOTAL-Personal Services Gross	1,518,813	1,599,952	1,706,044	1,688,148	1,784,555	1,752,357
Less Reimbursements						
Less Turnover	0	0	0	-70,000	0	-72,000
Less General Personal Services Reductions	0	0	0	-15,219	0	-24,287
TOTAL-Personal Services Net	1,518,813	1,599,952	1,706,044	1,602,929	1,784,555	1,656,070
<u>Other Expenses-Contractual Services</u>						
Advertising	27,611	12,217	12,498	12,217	12,798	12,217
Printing And Binding	650	479	490	479	502	479
Dues And Subscriptions	25,997	25,439	26,024	25,439	26,648	25,439
Rents, Storage & Leasing	93,841	3,943	5,010,034	5,009,943	5,010,131	5,009,943
General Repairs	341	628	600	628	600	628
Fees For Outside Professional Services	145,089	0	0	0	0	0
Fees For Non-Professional Services	31,465	21,494	21,988	21,494	22,516	21,494
DP Services, Rentals and Maintenance	915	100	102	100	104	100
Travel	10,812	5,750	5,882	5,750	6,023	5,750
Other Contractual Services	36	128	131	128	134	128
<u>Other Expenses-Commodities</u>						
Agricultural, Horticultural, And Dairy	105	100	102	100	104	100
Books	450	401	410	401	420	401

Budget-in-Detail

Maintenance and Motor Vehicle Supplies	240	25	26	25	27	25
Office Supplies	7,337	3,000	3,069	3,000	3,143	3,000
<i><u>Other Expenses-Sundry</u></i>						
Sundry - Other Items	25,676	4,634	4,741	4,634	4,855	4,634
TOTAL-Other Expenses Gross	370,565	78,338	5,086,097	5,084,338	5,088,005	5,084,338
Less Reimbursements	0	0	0	-881,394	0	-881,394
TOTAL-Other Expenses Net	370,565	78,338	5,086,097	4,202,944	5,088,005	4,202,944
<i><u>Other Current Expenses</u></i>						
CT Education Technology Initiatives	0	0	4,562,580	0	4,672,082	0
Automated Personnel System	0	1,502,299	1,957,000	1,927,233	2,033,000	1,980,359
Commission for Educational Technology	0	0	122,760	0	125,706	0
Admin-Comm Educational Technology	0	0	122,760	0	125,706	0
Year 2000 Conversion	1,415,569	0	0	0	0	0
TOTAL-Other Current Expenses	1,415,569	1,502,299	6,765,100	1,927,233	6,956,494	1,980,359

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,518,813	1,599,952	1,706,044	1,701,272	1,602,929	1,784,555	1,779,783	1,656,070
Other Expenses Net	370,565	78,338	5,086,097	4,204,703	4,202,944	5,088,005	4,206,611	4,202,944
Capital Outlay	2,000	2,000	10,000	7,500	1,000	10,000	7,500	1,000
Other Current Expenses	1,415,569	1,502,299	6,765,100	2,192,520	1,927,233	6,956,494	2,274,412	1,980,359
TOTAL-General Fund Net	3,306,947	3,182,589	13,567,241	8,105,995	7,734,106	13,839,054	8,268,306	7,840,373
<i><u>Additional Funds Available</u></i>								
Technical Services	55,024,426	68,241,464	69,742,543	69,742,543	69,742,543	71,416,364	71,416,364	71,416,364
TOTAL-All Funds Net	58,331,373	71,424,053	83,309,784	77,848,538	77,476,649	85,255,418	79,684,670	79,256,737

DEPARTMENT OF PUBLIC WORKS

[HTTP://WWW.STATE.CT.US/DPW/](http://www.state.ct.us/dpw/)

AGENCY DESCRIPTION:

The Department of Public Works' mission is to be the leader in providing quality facilities and in delivering cost-effective, responsive, timely services to state agencies in the areas of design, construction, facilities management, leasing and property disposition.

The Department of Public Works (DPW) is responsible for the design and construction of nearly all major capital projects, maintenance of security standards for most facilities housing offices and equipment of the state, leasing and property acquisitions for most state agencies as well as facility management, maintenance and security of state buildings in the greater Hartford area and surplus property statewide.

The department is also mandated to assist agencies and departments with long term facilities planning and the preparation of cost estimates for such plans.

DPW provides facility related services to the majority of Connecticut's state agencies and commissions. Many DPW services, such as security, parking and snow and ice removal, also benefit the public who visit the facilities. It is the policy of DPW to work in close cooperation with its client agencies to ensure that the finished product reflects the needs of the agency and facilitates the delivery of services to their client.

AGENCY PROGRAM INDEX

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RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

	2001-2002	2002-2003
• Reduce Agency Personal Services	-97,350	-168,239
• Transfer Equipment to CEPF	-227,100	-173,500
• Reduce Inflation and Other Miscellaneous Reductions	-446,592	-851,530
• Fund Excess Energy Costs from FY 2001 Surplus	-561,423	-598,022
• Fund Minor Capital Improvement Projects from FY 2001 Surplus	-2,000,000	-2,000,000

Appropriations From FY 2001 Surplus

- Provide \$5.6 Million to Eliminate the Public Works Capital Project Revolving Fund Deficit from the FY 2001 Surplus
- Provide \$250,000 for Transition Costs to Implement the 24-hour Statewide Security Hub

AGENCY PROGRAMS:

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions	155	28	-1	182	182	182	182	182
General Fund	76	0	0	76	76	76	76	76
Bond Funds								
Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management and Planning	10,500,763	4,223,580	5,073,059	4,690,628	4,478,314	5,312,786	4,930,355	4,700,757
Facilities Management	21,622,494	23,626,783	25,312,282	24,799,162	23,744,302	25,839,126	25,326,006	23,872,836
Leasing and Property Transfer	6,864,790	10,017,188	8,506,198	8,468,491	8,461,951	8,518,630	8,480,923	8,468,112
Facilities Design & Construction	9,602,882	9,222,251	9,981,304	10,140,704	8,139,476	10,574,772	10,934,172	8,931,828
TOTAL Agency Programs - All Funds Gross	48,590,929	47,089,802	48,872,843	48,098,985	44,824,043	50,245,314	49,671,456	45,973,533
Less Turnover	0	0	-370,905	-370,905	-370,905	-390,103	-390,103	-390,103
Less General Personal Services Reduction	0	0	0	0	-57,523	0	0	-93,368
TOTAL Agency Programs - All Funds Net	48,590,929	47,089,802	48,501,938	47,728,080	44,395,615	49,855,211	49,281,353	45,490,062
Summary of Funding								
General Fund Net	44,196,928	43,771,549	44,645,932	43,872,074	40,539,609	45,468,995	44,895,137	41,103,846
Bond Funds	4,394,001	3,318,253	3,856,006	3,856,006	3,856,006	4,386,216	4,386,216	4,386,216
TOTAL Agency Programs - All Funds Net	48,590,929	47,089,802	48,501,938	47,728,080	44,395,615	49,855,211	49,281,353	45,490,062

PROGRAM: MANAGEMENT AND PLANNING

Statutory Reference:

C.G.S. Section 4b-1

Statement of Need and Program Objectives:

To manage the staff and activities of the Department of Public Works to ensure the responsive and cost effective implementation of the state's facilities space management and capital development program plans by setting departmental policy, standards, and priorities and managing internal processes.

Program Description:

This program consists of the Commissioner's Office, the Chief Deputy Commissioner's Office, the Deputy Commissioner's Office, Communications Unit, Office of Diversity Programs, Risk Management Division.

The Communications Unit is responsible for providing public information, client agency communications, internal information and general communications support throughout the department.

Budget-in-Detail

The Office of Diversity Programs is responsible for preparing and implementing the department's affirmative action plan as well as providing training on issues relevant to the workplace. In addition the office is responsible for verifying agency and contractor compliance with nondiscrimination laws and for monitoring the small business set-aside program and contractors' affirmative action plans. This office also coordinates the efforts of the Diversity Leadership Council (DLC) which serves as a DPW employee advisory committee.

The Risk Management Division is responsible for identifying and mitigating financial or programmatic risk to DPW. The Human Resource Unit, Statewide Security Unit, Financial Management Unit, Quality and Process Improvement Unit and the Information Technology Unit report to the Director of Risk Management.

The Human Resources Unit is responsible for developing and administering personnel policies, processing personnel actions, recruitment, labor relations, and liaison with the statewide personnel system.

The Statewide Security Unit develops and implements security standards, policies and procedures, and standardizes equipment and systems to provide an adequate level of security to the employees and

the public, and to state assets at all nonexempt state-owned and leased facilities. It also administers the statewide workplace violence online reporting system and helps other state agencies manage incidents.

The Quality and Process Improvement Unit supports other units in the agency to address ongoing customer service improvement and business improvement activities. The process management staff may take a leadership role in specific improvement efforts at the request of the core business managers and/or senior management.

The Financial Management Unit provides purchasing, accounts payable and inventory control services, accounting for Capital Project Fund construction, renovation and repair projects, as well as Capital and Operating budget development, reporting and monitoring. The unit solicits bids for all contracts for construction, remodeling or demolition of state buildings, and solicits lease proposals.

The Information Technology Unit is responsible for preparing and implementing the annual Information Technology Plan, coordinating purchase and installation of hardware and software and providing technical support services for DPW's automated systems.

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	59	10	-1	68	68	68	68	68

Financial Summary

(Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,621,822	2,582,926	3,023,399	2,693,468	2,677,032	3,191,097	2,861,166	2,830,232
Other Expenses	743,690	630,654	644,861	644,861	630,483	660,030	660,030	634,866
<u>Capital Outlay</u>								
Equipment	0	0	235,000	182,500	1,000	227,000	174,500	1,000
<u>Other Current Expenses</u>								
Litigation Settlement Costs	6,100,000	0	0	0	0	0	0	0
Facilities Design Expenses	995,451	1,010,000	1,169,799	1,169,799	1,169,799	1,234,659	1,234,659	1,234,659
Year 2000 Conversion	39,800	0	0	0	0	0	0	0
TOTAL-General Fund	10,500,763	4,223,580	5,073,059	4,690,628	4,478,314	5,312,786	4,930,355	4,700,757

Management and Planning

PROGRAM: FACILITIES MANAGEMENT

Statutory Reference:

C.G.S. Section 4b-1

Statement of Need and Program Objectives:

To ensure that state employees and the visiting public have a clean, safe and healthy environment in which to work or visit by providing facilities management services such as building maintenance, housekeeping and security for nearly all state-owned and 2 leased office buildings in the greater Hartford area and several regional locations occupied by the executive branch. Services are also provided for other facilities that are transferred to the department for management while being sold or transferred to other agencies.

Program Description:

The Facilities Management Division administers the operation, maintenance and security of 6.9 million square feet of state owned buildings. Buildings are located throughout the Hartford/Wethersfield area and major cities in the state including Mystic, Newtown and Waterbury. The Facilities Management Division is responsible for the long term management of the asset including the physical integrity of

property, containment of overall operating expenditures, oversight of the preventative maintenance program as well as recommended capital expenditures, administration of contracts for property management and service contracts, standardization of equipment installed at buildings, standardization of procedures, participation in relocation of agencies within DPW managed buildings, and oversight of security personnel, procedures and equipment.

The Facilities Management Division works closely with the OPM Asset Management Division regarding campus closure and re-use scenarios. The division interacts with the DPW client teams and statewide programs unit regarding planning and implementation of facility renovations, monitoring and implementation of energy savings programs, and asbestos abatement and removal in DPW facilities. Active participation in the state's design/build program is helping to reduce long term maintenance and operation costs. The division also works closely with the DAS Small Business Set-aside Program providing contracting opportunities to vendors certified by the program.

Program Measure

Operating and Maintenance costs per sq. ft. Hartford area (\$M)	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
	6.2	6	6.2	6.4

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	72	12	0	84	84	84	84	84

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,551,195	2,451,059	3,650,588	3,132,958	3,113,840	3,829,138	3,311,508	3,275,705
Other Expenses	14,403,090	15,634,139	15,947,084	15,947,084	15,277,065	16,204,922	16,204,922	15,255,736
<u>Capital Outlay</u>								
Equipment	0	0	45,600	45,600	0	0	0	0
<u>Other Current Expenses</u>								
Thames River Campus Management	10,824	0	0	0	0	0	0	0
Fairfield Hills Campus Management	52	0	0	0	0	0	0	0
Norwich Hospital Campus Management	3,622	0	0	0	0	0	0	0
Management Services	4,425,752	5,541,585	5,669,010	5,673,520	5,353,397	5,805,066	5,809,576	5,341,395
Seaside Regional Center Management	2,010	0	0	0	0	0	0	0
Mystic Education Center Management	919	0	0	0	0	0	0	0
Year 2000 Conversion	225,030	0	0	0	0	0	0	0
TOTAL-General Fund	21,622,494	23,626,783	25,312,282	24,799,162	23,744,302	25,839,126	25,326,006	23,872,836
Facilities Management								

PROGRAM: LEASING AND PROPERTY TRANSFER

Statutory Reference:

C.G.S. Sections 4b-30 and 4b-21

Statement of Need and Program Objectives:

To acquire adequate leased facilities of all types for use and occupancy by all state agencies (except the Labor Department and the University of Connecticut) using established state standards and departmental procedures to procure the most economically advantageous terms and conditions.

To acquire, sell and transfer real property based on sound economic principles pursuant to the best interests of the state.

To lease out state facilities to private parties, where appropriate.

Program Description:

At the end of FY '00, this division administered approximately 225 leases with an annual rent roll in excess of \$32 million for approximately 2,607,906 square feet. Objectives are achieved by:

Assisting state agencies in determining office space requirements; Maintaining an up-to-date statewide inventory of available office space; Advertising for office space requirements in excess of 2,500 square feet; Conducting extensive site searches for suitable office space to meet agency requirements; Negotiating to obtain the best transaction possible; Preparing lease proposals for the approval of the Office of Policy and Management and the State Properties Review Board; Preparing lease documents for the approval of the Attorney General; Performing on-site inspections to ensure renovations are performed in accordance with the approved plans and specifications and lease terms; Acquiring, selling, or transferring real property to meet agency requirements; Ensuring quality control of lease files; Performing lease compliance activities for all leased facilities; Leasing state-owned property to private and non profit groups when appropriate. At the end of FY '00, there were approximately 34,543 gross square feet leased out with annual rental income of \$59,539.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Average cost per sq. ft. of space leased by the state (\$)	11.8	12	12	12
Cost of sq. ft. Hartford (\$)	12.06	16.7	15.2	15.5

Personnel Summary

<i>Permanent Fulltime Positions</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	8	3	0	11	11	11	11	11

Financial Summary

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	520,653	497,665	536,741	499,034	495,989	573,257	535,550	529,760
Other Expenses	49,965	49,273	50,406	50,406	49,424	51,617	51,617	49,791
<u>Capital Outlay</u>								
Equipment	1,000	1,000	0	0	0	0	0	0
<u>Other Current Expenses</u>								
Rents and Moving	6,187,363	9,355,000	7,801,288	7,801,288	7,801,288	7,772,311	7,772,311	7,772,311
Capitol Day Care Center	101,760	109,250	111,763	111,763	109,250	114,445	114,445	109,250
Facilities Design Expenses	4,049	5,000	6,000	6,000	6,000	7,000	7,000	7,000
TOTAL-General Fund	6,864,790	10,017,188	8,506,198	8,468,491	8,461,951	8,518,630	8,480,923	8,468,112
Leasing and Property Transfer								

PROGRAM: FACILITIES DESIGN AND CONSTRUCTION

Statutory Reference:

C.G.S. Section 4b-1

Statement of Need and Program Objectives:

To manage the planning, design and construction of state-owned facilities which provide adequate, efficient and environmentally sound buildings, including associated utilities and site improvements.

To provide technical assistance to agency facility managers, including all state-managed institutions.

Program Description:

Under this program, the department provides technical assistance and oversight of the design and construction of state projects including: client teams, statewide programs, technical support, special projects, energy management, construction and claims management.

Budget-in-Detail

Client Plans and Programs Teams provide client agencies with a single point of contact with the DPW. The four agency teams are empowered to move horizontally throughout the department to gather the technical, administrative, financial, facilities management and lease assistance required to respond to any client agency issue which falls under the department's statutory purview.

The Architectural and Engineering Sections review preliminary, basic and final design plans submitted by consultants as well as designing smaller projects in-house. They also assist agencies in emergency situations and with design problems on the construction site. These sections also ensure participation in energy conservation programs and life cycle cost analysis with the Office of Policy and Management and provide project support in the Clean Air Act implementation.

The Construction Services Section operates from the central office in Hartford. Construction specialists visit construction sites throughout the state to ensure that the construction contractor is performing the job

according to contract provisions. The specialists are responsible for monitoring the status of all assigned projects and reporting this status, processing change orders, and ensuring that all jobs are proceeding smoothly and on time. This section supports the client teams in the delivery of completed projects.

The Special Projects Section oversees and administers the minor capital program projects and the major capital improvement projects which cost \$250,000 or less (\$2,000,000 or less for the higher education units). In addition, the section enforces all guarantees and bonds on all state projects.

The Claims Management Section assists the Office of the Attorney General in processing project claims and develops techniques for the department to avoid future claims.

State-wide programs in energy conservation, asbestos removal, lead paint removal, and underground fuel tank removal are also accomplished through this program.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Construction projects in process at start of FY	147	128	113	106
Construction projects started in FY	53	50	50	50
Construction projects completed in FY	72	65	57	50
Value of projects completed in FY (\$M)	150.6	150	150	150

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	16	3	0	19	19	19	19	19
Bond Funds	76	0	0	76	76	76	76	76

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,636	1,594	256,641	201,210	199,982	272,197	216,766	214,422
<u>Other Current Expenses</u>								
Minor Capital Improvements	1,616,825	2,000,000	2,000,000	2,000,000	0	2,000,000	2,000,000	0
Facilities Design Expenses	3,590,420	3,902,404	3,868,657	4,083,488	4,083,488	3,916,359	4,331,190	4,331,190
TOTAL-General Fund	5,208,881	5,903,998	6,125,298	6,284,698	4,283,470	6,188,556	6,547,956	4,545,612
<u>Additional Funds Available</u>								
Bond Funds	4,394,001	3,318,253	3,856,006	3,856,006	3,856,006	4,386,216	4,386,216	4,386,216
TOTAL-All Funds	9,602,882	9,222,251	9,981,304	10,140,704	8,139,476	10,574,772	10,934,172	8,931,828
Facilities Design & Construction								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	5,452,835	5,567,440	7,418,091	6,437,565	7,802,067	6,786,497
Other	145,132	100,804	184,278	184,278	198,622	198,622
Overtime	97,339	115,000	115,000	115,000	115,000	115,000
TOTAL-Personal Services Gross	5,695,306	5,783,244	7,717,369	6,736,843	8,115,689	7,100,119
Less Reimbursements	0	-250,000	-250,000	-250,000	-250,000	-250,000
Less Turnover	0	0	-370,905	-370,905	-390,103	-390,103
Less General Personal Services Reductions	0	0	0	-57,523	0	-93,368
TOTAL-Personal Services Net	5,695,306	5,533,244	7,096,464	6,058,415	7,475,586	6,366,648
<u>Other Expenses-Contractual Services</u>						
Advertising	56,117	51,884	53,078	51,884	54,352	51,884
Printing And Binding	27,909	21,078	21,562	21,078	22,079	21,078
Dues And Subscriptions	4,862	4,864	4,976	4,864	5,095	4,864
Utility Services	5,737,752	6,667,742	6,587,399	6,243,822	6,607,071	6,246,915
Rents, Storage & Leasing	87,915	85,931	87,907	85,931	90,018	85,931
Telecommunication Services	163,527	174,293	178,301	174,293	182,580	174,293
General Repairs	739,023	787,966	806,089	787,966	825,436	787,966
Motor Vehicle Expenses	56,873	53,503	54,733	53,503	56,047	53,503
Insurance	97	0	0	0	0	0
Fees For Outside Professional Services	7,461,805	8,210,842	8,579,403	8,305,146	8,780,685	8,285,397
Fees For Non-Professional Services	238,608	254,549	260,404	254,549	266,653	254,549
DP Services, Rentals and Maintenance	169,777	283,986	290,518	283,986	297,492	283,986
Postage	8,143	8,106	8,293	8,106	8,492	8,106
Travel	17,501	11,187	11,443	11,187	11,718	11,187

Budget-in-Detail

Other Contractual Services	73,499	70,366	71,985	70,366	73,712	70,366
<i>Other Expenses-Commodities</i>						
Agricultural, Horticultural, And Dairy	27,528	30,805	31,513	30,805	32,270	30,805
Books	640	0	0	0	0	0
Law Enforcement, Clothing\Personal Supplies	4,159	4,864	4,976	4,864	5,095	4,864
Maintenance and Motor Vehicle Supplies	77,493	82,688	84,591	73,661	86,621	73,661
Medical Supplies	336	0	0	0	0	0
Fuel	14,304	20,215	10,390	1,764	10,390	1,764
Office Supplies	79,616	84,308	86,247	84,308	88,318	84,308
Miscellaneous Commodities	120,178	128,084	131,030	128,084	134,175	128,161
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	29,083	30,805	31,513	30,805	32,270	30,805
TOTAL-Other Expenses Gross	15,196,745	17,068,066	17,396,351	16,710,972	17,670,569	16,694,393
Less Reimbursements	0	-754,000	-754,000	-754,000	-754,000	-754,000
TOTAL-Other Expenses Net	15,196,745	16,314,066	16,642,351	15,956,972	16,916,569	15,940,393

<i>Other Current Expenses</i>						
Thames River Campus Management	10,824	0	0	0	0	0
Fairfield Hills Campus Management	52	0	0	0	0	0
Norwich Hospital Campus Management	3,622	0	0	0	0	0
Minor Capital Improvements	1,616,825	2,000,000	2,000,000	0	2,000,000	0
Management Services	4,425,752	5,541,585	5,669,010	5,353,397	5,805,066	5,341,395
Litigation Settlement Costs	6,100,000	0	0	0	0	0
Rents and Moving	6,187,363	9,355,000	7,801,288	7,801,288	7,772,311	7,772,311
Capitol Day Care Center	101,760	109,250	111,763	109,250	114,445	109,250
Facilities Design Expenses	4,589,920	4,917,404	5,044,456	5,259,287	5,158,018	5,572,849
Seaside Regional Center Management	2,010	0	0	0	0	0
Mystic Education Center Management	919	0	0	0	0	0
Year 2000 Conversion	264,830	0	0	0	0	0
TOTAL-Other Current Expenses	23,303,877	21,923,239	20,626,517	18,523,222	20,849,840	18,795,805

Character & Major Object Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	5,695,306	5,533,244	7,096,464	6,155,765	6,058,415	7,475,586	6,534,887	6,366,648
Other Expenses Net	15,196,745	16,314,066	16,642,351	16,642,351	15,956,972	16,916,569	16,916,569	15,940,393
Capital Outlay	1,000	1,000	280,600	228,100	1,000	227,000	174,500	1,000
Other Current Expenses	23,303,877	21,923,239	20,626,517	20,845,858	18,523,222	20,849,840	21,269,181	18,795,805
TOTAL-General Fund Net	44,196,928	43,771,549	44,645,932	43,872,074	40,539,609	45,468,995	44,895,137	41,103,846
<i>Additional Funds Available</i>								
Bond Funds	4,394,001	3,318,253	3,856,006	3,856,006	3,856,006	4,386,216	4,386,216	4,386,216
TOTAL-All Funds Net	48,590,929	47,089,802	48,501,938	47,728,080	44,395,615	49,855,211	49,281,353	45,490,062

ATTORNEY GENERAL

AGENCY DESCRIPTION:

The primary missions of the Office of the Attorney General are: To provide legal services and representation for state agencies and officials in order to facilitate the efficient and effective provision of services by preventing legal problems from impeding state operations and To initiate affirmative litigation in order to protect the rights and welfare of citizens of the state and the public policies of Connecticut.

To further these missions, the office has initiated a series of structural and procedural measures designed to maximize the delivery of its services. These measures include:

Organization of staff into fifteen legal departments, to allow for effective administrative oversight and maximum staff interaction resulting in

shared knowledge; Acquisition of automated systems for legal research, case tracking and word processing, to allow for the highest quality of office product and timeliness and to make available current information for workload management; Constant improvement of law library collections and reference services, to produce the highest quality legal work; Centralized managerial control of the quality, timeliness and consistency of advisory opinions and litigation; Emphasis on recruitment and training of staff, to assure that the office is competitive with private sector law firms in the quality of its staff and services; and Emphasis on affirmative litigation in order that state revenues be maximized and that the interests of the state and its citizens be protected.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPF
- Reduce Inflation and Other Miscellaneous Reductions

	2001-2002	2002-2003
	-353,737	-520,482
	-454,000	-105,000
	-25,077	-55,886

AGENCY PROGRAMS:

<i>Personnel Summary</i>	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	314	14	0	328	328	328	328	328
Consumer Counsel/Public Utility Fund	5	0	0	5	5	5	5	5
Special Transportation Fund	11	0	0	11	11	11	11	11
Second Injury Fund	14	16	0	30	30	30	30	30
Federal Contributions	2	0	0	2	2	2	2	2
Private Contributions	10	5	0	15	15	15	15	15
			1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
<i>Other Positions Equated to Full Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			19	19	18	18	18	18
<i>Agency Programs by Total Funds (Net of Reimbursements)</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Legal Services	30,046,998	29,812,539	32,952,009	32,768,959	32,178,172	34,598,127	34,026,677	33,735,591
TOTAL Agency Programs - All Funds Gross	30,046,998	29,812,539	32,952,009	32,768,959	32,178,172	34,598,127	34,026,677	33,735,591
Less Turnover	0	0	-300,000	-350,000	-350,000	-300,000	-350,000	-350,000
Less General Personal Services Reduction	0	0	0	0	-242,027	0	0	-390,282
TOTAL Agency Programs - All Funds Net	30,046,998	29,812,539	32,652,009	32,418,959	31,586,145	34,298,127	33,676,677	32,995,309
<i>Summary of Funding</i>								
General Fund Net	25,317,494	25,250,065	27,825,109	27,592,059	26,759,245	29,184,227	28,562,777	27,881,409
Second Injury Fund	1,525,614	1,625,000	1,730,000	1,730,000	1,730,000	1,843,000	1,843,000	1,843,000
Federal Contributions	67,746	76,200	81,900	81,900	81,900	87,800	87,800	87,800
Private Contributions	3,136,144	2,861,274	3,015,000	3,015,000	3,015,000	3,183,100	3,183,100	3,183,100
TOTAL Agency Programs - All Funds Net	30,046,998	29,812,539	32,652,009	32,418,959	31,586,145	34,298,127	33,676,677	32,995,309

PROGRAM: LEGAL SERVICES

Statutory Reference:

Sections 3-124 and 3-131

Statement of Need and Program Objectives:

To facilitate the efficient and effective provision of state services by preventing legal problems from impeding state operations.

To advocate before the courts and administrative boards the rights and welfare of citizens of the state and the public policies of Connecticut.

Program Description:

The Office of the Attorney General is organized into one administrative and fifteen legal departments. Each legal department is based in the Hartford area and consists of attorneys, secretaries and in most cases

paralegals and/or investigators. Each department provides the full range of legal services to a group of state agencies. Each also initiates affirmative litigation as appropriate.

Each of the fifteen departments provides the entire range of legal services to groups of related state agencies. These legal services consist primarily of counseling and representation. The counseling function includes the rendering of informal advice and preparation of formal opinions, as well as the drafting and review of regulations, contracts and other instruments for legal sufficiency. The representation function involves representing all state agencies, employees, elected and appointed officials in all phases of litigation in federal and state courts and before administrative tribunals, and

includes administrative appeals and indemnification of state employees.

The Office of the Attorney General brings suit on behalf of state agencies and officials to enforce the public policies of Connecticut in such areas as consumer protection, the environment, health services, child support and protection, civil rights, and collections.

Consumer protection involves such areas as antitrust enforcement, regulation of charitable solicitations, and enforcement of banking and insurance laws.

Environment includes protection of the natural resources of Connecticut and the related health and well-being of Connecticut's citizens.

Health services includes regulation of health care institutions and providers.

Child support and protection includes representation of the state in the collection of child support payments under the Title IV-D program and the establishment of paternity cases involving the welfare and safety of children.

Civil rights includes enforcement of laws concerning discrimination in such areas as housing and employment.

Collections includes all efforts to maximize state revenues through pursuit of taxes and other funds due the state.

The central management of the Office of the Attorney General includes an administrative staff and a business office.

The administrative staff oversees, directs and manages the other two subprograms of the office, affirmative litigation and the provision of legal services, including contract review and issuance of advisory opinions. In addition, this staff provides education to the public on legal issues, formulates proposed legislation, maintains the law libraries of the office, recruits and trains personnel, maintains the computer system, and plans and develops systems to improve the efficiency and effectiveness of the office.

Under the direction of the administrative staff, the business office performs the functions of payroll, purchasing, accounting, facilities management, and preparation of the budget.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Formal written options and informal written advices rendered	1,200	1,200	1,200	1,200
Cases Completed	26,251	28,000	28,000	28,000
Legal documents examined and approved	6,482	7,000	7,000	7,000
General Fund dollars collected (000)	229,055	240,000	250,000	250,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Fulltime Positions</i>								
General Fund	314	14	0	328	328	328	328	328
Consumer Counsel/Public Utility Fund	5	0	0	5	5	5	5	5
Special Transportation Fund	11	0	0	11	11	11	11	11
Second Injury Fund	14	16	0	30	30	30	30	30
Federal Contributions	2	0	0	2	2	2	2	2
Private Contributions	10	5	0	15	15	15	15	15

Other Positions Equated to Full Time

	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	19	19	18	18	18	18

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	22,681,324	24,151,718	26,286,741	26,194,470	26,082,760	27,603,205	27,483,379	27,353,179
Other Expenses	1,495,492	1,097,347	1,608,368	1,292,589	1,267,512	1,650,022	1,323,398	1,267,512
<i>Capital Outlay</i>								
Equipment	1,398	1,000	230,000	455,000	1,000	231,000	106,000	1,000
<i>Other Current Expenses</i>								
Police Wiretap Case	93,251	0	0	0	0	0	0	0
Year 2000 Conversion	1,046,029	0	0	0	0	0	0	0
TOTAL-General Fund	25,317,494	25,250,065	28,125,109	27,942,059	27,351,272	29,484,227	28,912,777	28,621,691
<i>Additional Funds Available</i>								
Second Injury Fund	1,525,614	1,625,000	1,730,000	1,730,000	1,730,000	1,843,000	1,843,000	1,843,000
Private Contributions	3,136,144	2,861,274	3,015,000	3,015,000	3,015,000	3,183,100	3,183,100	3,183,100
Federal Contributions								
66802 Hazardous Subst Response Tr Fund	853	5,000	6,000	6,000	6,000	7,000	7,000	7,000
93777 Cert Health Care Providers	66,893	71,200	75,900	75,900	75,900	80,800	80,800	80,800
TOTAL-All Funds	30,046,998	29,812,539	32,952,009	32,768,959	32,178,172	34,598,127	34,026,677	33,735,591

Legal Services

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003		
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>		
<i>Personal Services</i>								
Permanent Fulltime Positions	21,403,412	22,895,375	24,735,040	24,618,773	25,972,436	25,837,679		
Other Positions	808,505	859,488	878,700	826,986	940,200	855,931		
Other	442,235	574,000	854,651	823,651	877,729	856,729		
Overtime	27,172	30,000	40,000	35,000	50,000	40,000		
TOTAL-Personal Services Gross	22,681,324	24,358,863	26,508,391	26,304,410	27,840,365	27,590,339		
Less Reimbursements	0	-207,145	-221,650	-221,650	-237,160	-237,160		
Less Turnover	0	0	-300,000	-350,000	-300,000	-350,000		
Less General Personal Services Reductions	0	0	0	-242,027	0	-390,282		
TOTAL-Personal Services Net	22,681,324	24,151,718	25,986,741	25,490,733	27,303,205	26,612,897		
<i>Other Expenses-Contractual Services</i>								
Advertising	172	500	512	500	524	500		
Printing And Binding	50,454	36,000	60,000	36,000	61,440	36,000		
Dues And Subscriptions	325,692	44,327	370,000	197,982	378,880	197,982		
Utility Services	2,269	5,800	6,000	5,800	6,000	5,800		
Rents, Storage & Leasing	124,926	149,500	170,000	160,907	174,080	160,907		
Telecommunication Services	132,109	129,500	150,000	129,500	153,600	129,500		
General Repairs	13,023	13,500	25,000	13,500	25,600	13,500		
Motor Vehicle Expenses	19,597	20,500	25,500	20,500	25,512	20,500		
Fees For Outside Professional Services	215,019	70,500	72,136	70,500	73,880	70,500		
Fees For Non-Professional Services	60,489	63,000	80,000	63,000	81,920	63,000		
DP Services, Rentals and Maintenance	152,114	196,000	215,000	201,103	220,160	201,103		
Postage	69,677	65,000	75,000	65,000	76,800	65,000		
Travel	135,489	143,000	154,000	143,000	157,696	143,000		
Other Contractual Services	11,483	10,620	13,620	10,620	13,932	10,620		
<i>Other Expenses-Commodities</i>								
Books	62	100	100	100	102	100		
Maintenance and Motor Vehicle Supplies	3,856	4,000	6,000	4,000	6,144	4,000		
Office Supplies	178,480	145,000	185,000	145,000	193,240	145,000		
Miscellaneous Commodities	536	500	500	500	512	500		
<i>Other Expenses-Sundry</i>								
Sundry - Other Items	45	0	0	0	0	0		
TOTAL-Other Expenses Gross	1,495,492	1,097,347	1,608,368	1,267,512	1,650,022	1,267,512		
Less Reimbursements								
TOTAL-Other Expenses Net	1,495,492	1,097,347	1,608,368	1,267,512	1,650,022	1,267,512		
<i>Other Current Expenses</i>								
Police Wiretap Case	93,251	0	0	0	0	0		
Year 2000 Conversion	1,046,029	0	0	0	0	0		
TOTAL-Other Current Expenses	1,139,280	0	0	0	0	0		
<i>Character & Major Object Summary</i>								
	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	22,681,324	24,151,718	25,986,741	25,844,470	25,490,733	27,303,205	27,133,379	26,612,897
Other Expenses Net	1,495,492	1,097,347	1,608,368	1,292,589	1,267,512	1,650,022	1,323,398	1,267,512
Capital Outlay	1,398	1,000	230,000	455,000	1,000	231,000	106,000	1,000
Other Current Expenses	1,139,280	0	0	0	0	0	0	0
TOTAL-General Fund Net	25,317,494	25,250,065	27,825,109	27,592,059	26,759,245	29,184,227	28,562,777	27,881,409
<i>Additional Funds Available</i>								
Second Injury Fund	1,525,614	1,625,000	1,730,000	1,730,000	1,730,000	1,843,000	1,843,000	1,843,000
Federal Contributions	67,746	76,200	81,900	81,900	81,900	87,800	87,800	87,800
Private Contributions	3,136,144	2,861,274	3,015,000	3,015,000	3,015,000	3,183,100	3,183,100	3,183,100
TOTAL-All Funds Net	30,046,998	29,812,539	32,652,009	32,418,959	31,586,145	34,298,127	33,676,677	32,995,309

OFFICE OF THE CLAIMS COMMISSIONER

AGENCY DESCRIPTION:

The Claims Commissioner is charged with the responsibility to hear and determine claims against the State and may make awards up to \$7,500 on any given claim. The commissioner makes recommendations to the General Assembly on those claims, which

exceed \$7,500. The Claims Commissioner may authorize a suit against the State if a claim presents an issue of law or fact under which the State, if it were a private person, could be liable.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Reduce Inflation and Other Miscellaneous Reductions

2001-2002	2002-2003
-4,456	-10,005
-719	-1,486

AGENCY PROGRAMS:

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	4	0	0	4	4	4	4	4

Agency Programs by Total Funds (Net of Reimbursements)

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Claims Adjudication and Administration	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036
TOTAL Agency Programs - All Funds Gross	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036
<u>Summary of Funding</u>								
General Fund Net	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036
TOTAL Agency Programs - All Funds Net	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036

PROGRAM: CLAIMS ADJUDICATION AND ADMINISTRATION

Statutory Reference:

C.G.S. Chapter 53

Statement of Need and Program Objectives:

To receive, hear, and adjudicate claims against the State and to authorize payment of claims within the commission's jurisdiction. To recommend other claims for consideration by the legislature or grant permission for claimants to institute suit against the State.

Program Description:

The Claims Commissioner makes recommendations to the General Assembly on those claims which exceed \$7,500, annually at the start of

a legislative session; Maintains caseloads, schedules and conducts hearings, receives motions, makes findings and issues orders. During the last three fiscal years, awards were issued at an average of \$143,460 per year; and Authorizes suit against the State, when deemed just and equitable, if a claim presents an issue of law or fact under which the State, if it were a private person, could be liable, thus waiving the State's sovereign or governmental immunity.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
Cases pending	1,626	1,400	1,200	1,000
New claims filed	571	600	600	600
Claims adjudicated/hearings held	735	800	800	800
Claims submitted to legislature	66	70	70	70

Personnel Summary

Permanent Fulltime Positions	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	4	0	0	4	4	4	4	4

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	211,611	228,187	245,758	242,977	238,521	262,429	259,683	249,678
Other Expenses	20,396	31,258	35,611	31,977	31,258	38,539	32,744	31,258
<u>Capital Outlay</u>								
Equipment	0	100	500	100	100	500	100	100
<u>Other Current Expenses</u>								
Adjudicated Claims	91,984	95,000	100,000	100,000	100,000	105,000	105,000	105,000
TOTAL-General Fund	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036
Claims Adjudication and Administration								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	211,022	227,554	244,983	237,746	261,594	248,843
Other	479	515	650	650	700	700
Overtime	110	118	125	125	135	135
TOTAL-Personal Services Gross	211,611	228,187	245,758	238,521	262,429	249,678
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	211,611	228,187	245,758	238,521	262,429	249,678
<i>Other Expenses-Contractual Services</i>						
Printing And Binding	199	221	226	221	231	221
Rents, Storage & Leasing	1,668	2,563	2,622	2,563	2,685	2,563
Telecommunication Services	636	978	1,000	978	1,024	978
General Repairs	56	86	88	86	90	86
Fees For Outside Professional Services	12,390	19,040	23,000	19,040	25,500	19,040
DP Services, Rentals and Maintenance	564	867	1,000	867	1,150	867
Postage	3,012	4,628	4,734	4,628	4,848	4,628
<i>Other Expenses-Commodities</i>						
Maintenance and Motor Vehicle Supplies	166	255	261	255	267	255
Office Supplies	1,705	2,620	2,680	2,620	2,744	2,620
TOTAL-Other Expenses Gross	20,396	31,258	35,611	31,258	38,539	31,258
Less Reimbursements						
TOTAL-Other Expenses Net	20,396	31,258	35,611	31,258	38,539	31,258
<i>Other Current Expenses</i>						
Adjudicated Claims	91,984	95,000	100,000	100,000	105,000	105,000
TOTAL-Other Current Expenses	91,984	95,000	100,000	100,000	105,000	105,000

<i>Character & Major Object Summary</i>	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	211,611	228,187	245,758	242,977	238,521	262,429	259,683	249,678
Other Expenses Net	20,396	31,258	35,611	31,977	31,258	38,539	32,744	31,258
Capital Outlay	0	100	500	100	100	500	100	100
Other Current Expenses	91,984	95,000	100,000	100,000	100,000	105,000	105,000	105,000
TOTAL-General Fund Net	323,991	354,545	381,869	375,054	369,879	406,468	397,527	386,036

DIVISION OF CRIMINAL JUSTICE

[HTTP://WWW.STATE.CT.US/CSAO/](http://www.state.ct.us/csa/)

AGENCY DESCRIPTION:

The Division of Criminal Justice is constitutionally charged with the investigation and prosecution of all criminal matters in the Superior Court. Pursuant to Article 23 of the Connecticut constitution, the Division's mission is to contribute to the due process of criminal law and to achieve justice. Article 23, enacted by the voters in 1984, established the Division as an executive branch agency and transferred it from the Judicial Branch.

The Chief State's Attorney, as administrative head of the agency, is responsible for planning, establishing agency policy and administering the operations and activities of the central office and over 50 prosecutor's offices throughout the state. These offices are grouped into thirteen Judicial Districts, each supervised by a State's Attorney with the assistance of Supervisory Assistant State's Attorneys, who supervise Geographical Area prosecutors and Supervisory Juvenile Prosecutors who supervise larger Juvenile Matters offices.

The Division is organized into three major activity areas: investigation and prosecution; appellate and collateral litigation; and management and support services. These program areas include: Prosecution of all felonies, misdemeanors, motor vehicle offenses and violations arising under state statutes; Investigation and prosecution of particular crimes and offenses of statewide scope and/or requiring special expertise; and Representation of the state in all appellate, post-trial and post conviction proceedings related to criminal matters.

The Division has expanded its activities in the areas of health and social service fraud, computer crime, youth violence, teen pregnancy, drunk driving and elder abuse. Such crimes often require specialized knowledge and resources. The addition of juvenile prosecution to the

Division's repertoire of duties also has raised new issues. The Division attained jurisdiction over juvenile prosecution as a result of Public Act No. 95-225, transferring all juvenile prosecutors and staff from the Judicial Branch as of July 1, 1996. Juvenile offenders provide new challenges to our prosecutors in that some juveniles may best be diverted to rehabilitative programs to avoid judicial action and detention. However, some juvenile offenders commit crimes serious enough to warrant their transfer to the "adult" docket. This new category of prosecution thus requires the continuing attention of the State's Attorneys.

As a means to improve its efficiency, the Division continues to increase its information technology by providing greater connectivity within the agency, allowing prosecutors and Inspectors to share information more easily with each other, as well as with other local, state and federal agencies and resources. Similarly, the agency is working with the Department of Information Technology to identify new methods of document management.

The Division enhanced its continuing education program and has taken steps to enhance the skill of its lawyers by instituting an extensive in-service training program for all prosecutors. This program includes cost-free access to the National Training Center of the National College of District Attorneys, where the curriculum includes all aspects of prosecution. The Division also sponsors regular training on aspects of Connecticut law, ethics and forensic sciences. Similar training opportunities are provided for Inspectors and support staff throughout the state.

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RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Agency Personal Services
- Transfer Equipment to CEPP
- Reduce Inflation and Other Miscellaneous Reductions
- Continue FY 2001 Allotment Recision

	2001-2002	2002-2003
	-447,619	-786,256
	-192,500	-169,500
	-77,148	-161,800
	-3,295	-3,295

Reallocations or Transfers

- Pick Up Expiring Federal Grants

General Fund pick up of 10 positions and continuation of programs will take place through reclassifications of existing vacancies.

Programs include Nuisance Abatement, Drug Session Expansion, the statutory rape prosecution component of Violence Against Women, the Bridgeport Domestic Violence Special Docket, and the Regionalized Infraction Adjudication Program.

AGENCY PROGRAMS:

Personnel Summary	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions								
General Fund	484	27	15	526	526	526	526	526
Federal Contributions	21	1	0	22	10	10	8	10
Private Contributions	14	0	-1	13	13	13	13	13
Agency Programs by Total Funds (Net of Reimbursements)								
	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Prosecute & Investigation-Pre-Arrest	31,621,689	33,077,351	36,970,530	36,072,070	35,797,301	37,902,272	37,291,105	36,884,326
Appellate and Collateral Litigation	2,610,475	2,775,725	2,940,583	2,890,009	2,876,296	3,089,184	3,059,514	3,029,330
Management and Support Services	4,351,036	4,640,067	5,348,613	5,186,034	5,093,195	5,273,133	5,138,583	4,999,066
TOTAL Agency Programs - All Funds Gross	38,583,200	40,493,143	45,259,726	44,148,113	43,766,792	46,264,589	45,489,202	44,912,722
Less Turnover	0	0	-371,561	-371,561	-371,561	-387,034	-387,034	-387,034
Less General Personal Services Reduction	0	0	0	0	-339,241	0	0	-544,371
TOTAL Agency Programs - All Funds Net	38,583,200	40,493,143	44,888,165	43,776,552	43,055,990	45,877,555	45,102,168	43,981,317

Budget-in-Detail

Summary of Funding

General Fund Net	35,615,802	37,695,246	42,823,265	41,711,652	40,991,090	43,941,747	43,166,360	42,045,509
Federal Contributions	1,487,576	1,332,984	727,725	727,725	727,725	620,475	620,475	620,475
Private Contributions	1,479,822	1,464,913	1,337,175	1,337,175	1,337,175	1,315,333	1,315,333	1,315,333
TOTAL Agency Programs - All Funds Net	38,583,200	40,493,143	44,888,165	43,776,552	43,055,990	45,877,555	45,102,168	43,981,317

PROGRAM: INVESTIGATION AND PROSECUTION

Statutory References:

C.G.S. Sections 51-276, 51-286e, 54-82l-m and 54-36h

Statement of Need and Program Objectives:

To represent the people of the State of Connecticut in the investigation and prosecution of all felonies, misdemeanors and motor vehicle offenses against the laws of the State of Connecticut and the ordinances of local government after arrest by state or local law enforcement officials.

Program Description:

Thirteen Judicial District (JD) State's Attorneys' Offices handle major felonies. Twenty-two Geographic Area (GA) Offices are responsible for lesser felonies and misdemeanors, including motor vehicle infractions. Thirteen Juvenile Matters offices are responsible for juvenile crimes.

Prosecutors in Connecticut are assigned to specific office locations and the process of handling cases is the same in both JD and GA locations.

Throughout the process, significant time may be spent in negotiation with defense counsel, with the anticipated result being that many cases are resolved without a jury or court trial. In capital cases, their prosecution requires the attention of more than one prosecutor, and centralized research assistance is provided by Appellate Bureau staff who specialize in capital litigation.

In addition to the ongoing review of filed criminal cases, substantial prosecutor time must be devoted, on a daily basis, to the review and issuance of arrest, re-arrest and search warrants; post-conviction actions such as sentence review; and the collection of forfeited bail bonds. The division is responsible for the extradition of prisoners from other states and for bringing in witnesses needed for trial who reside in other states.

The volume of capital felony prosecutions in the state has significantly increased. As of October 1998, some 33 capital cases were pending in the state's courts. Of this number, some 25 cases were pending in the Superior Court and 8 were on appeal because of the complexity.

Certain statutory provisions add to time and staff constraints on the offices. The division is required to inform victims of all steps in the prosecution of cases and Connecticut's speedy trial law requires that all incarcerated defendants be tried within eight months of arrest.

Juvenile Prosecution: The addition of juvenile prosecution to the division's responsibilities on July 1, 1996, has brought with it the full gamut of offenses, from truancy to capital crimes. (See Public Act 95-225.) The transfer of jurisdiction from the Judicial Branch now permits prosecutors to have access to all juvenile records, so that the transfer of the most serious juvenile offenders to the adult docket may be made with the benefit of complete information about the offender. Juvenile matters are handled by juvenile prosecutors in courthouses separate from Judicial District facilities, although recently constructed courthouses now provide facilities for both adult and juvenile matters prosecutors. In many cases, juvenile court jurisdictions cross Judicial District boundaries, thus requiring supervision by more than one State's Attorney. The Office of the Chief State's Attorney provides statewide coordination of juvenile matters. The Division of Criminal Justice has taken substantial steps to improve the effectiveness of its juvenile prosecutors by the hiring of additional Juvenile Investigators and Juvenile Prosecutors to cope with the state's growing juvenile matters docket.

Domestic Violence Prosecution: Through federal and state funding, the Division of Criminal Justice has enhanced its prosecution of domestic violence in Bridgeport, Hartford, New Haven and Waterbury where prosecutors are given specialized training and handle domestic violence cases exclusively. They work with judicial, police and social service agencies to create a global approach that recognizes the special needs of victims and the importance of accountability for

offenders. This approach includes a specialized Statutory Rape Unit, which focuses on the victimization of young females by older males, both through investigation and prosecution, but also by outreach programs designed to prevent teen pregnancy.

Drug Prosecution: The division receives federal and state funds for drug prosecution programs. Drug prosecutors in seven Judicial Districts handle the most serious drug possession for sale cases in those locations. In addition, pilot programs operating in two Judicial Districts support prosecutors serving drug courts which provide alternatives to incarceration for individuals arrested for less serious crimes who have substance abuse problems.

Drug Asset Forfeiture: The state is permitted by state law to pursue proceeds of illicit drug trafficking and accomplishes this through civil action in which the division seeks forfeiture of the proceeds to the state through legal standards different than those used in criminal actions. Through a specialized civil proceeding that state seeks court orders for the forfeiture of such funds as a means to deter criminal activity. These proceeds, in turn, provide support for ongoing law enforcement activities and programs for local and state agencies.

Regionalized Infractions Adjudication: Some 550,000 criminal and motor vehicle cases are processed through the Superior Court each year, including nearly 225,000 contested infractions, most of them stemming from motor vehicle violations. A significant proportion of these contested cases involve offenders who seek a court trial, rather than plead guilty and pay a fine through the mail. Once a contested infraction gets to court the review required for each case can be time-consuming. Prosecutors who otherwise would be assigned to prosecute assaults, robberies and other violent crimes may instead handle up to 300 motor vehicle infractions a day. The Division's answer to this dilemma is the Regionalized Infractions Adjudication Program (RIAP). RIAP is a cooperative effort of the Division of Criminal Justice and the Judicial Branch to adjudicate motor vehicle infractions more simply, effectively and quickly. Through regionalization of "traffic court," the employment of part-time prosecutors and screening of violations at the Centralized Infractions Bureau, those who plead "not guilty" are assured that their case will be promptly tried. The program began operation in February 1998, in West Hartford and is initially funded through a federal grant administered by the state Office of Policy and Management. The program has expanded to the New Britain and New Haven Judicial Districts and will soon extend to the New London Judicial District.

Housing Court: Prosecutors assigned to Housing Matters prosecutions deal with criminal cases in the state's urban areas and deal with issues including fire code violations, lead paint abatement and building code violations. These amount to about 200 prosecutions per year, with a like number negotiated to resolution. The position of Housing Court Prosecutor has become very specialized with a knowledge of building codes now necessary.

Community Court: This specialized session of the Superior Court in Hartford was created in 1997 by the state legislature. Through an innovative partnership between the Judicial Branch, city officials and the Division of Criminal Justice, this court handles "quality of life" offenses which otherwise would be assigned to the regular court docket. These crimes and violations are targeted because of their impact on the public safety of citizens and their contribution to the deterioration of many neighborhoods. From November 1998, through December 31, 1999, the Division prosecuted nearly 8,000 cases, resulting in some 28,000 hours of community service.

Office of the Chief State's Attorney conducts investigations and prosecutions on a statewide basis in a number of different specialized areas. Pre-arrest activities are organized based on their highly technical, complex or statewide nature. In the majority of cases that fall

into these areas, referrals will be made from state or local police departments or the State's Attorney offices throughout the state.

The Asset Forfeiture Bureau works in conjunction with prosecutors handling drug-related prosecutions by filing civil actions for the forfeiture to the state of property or assets used in the commission of the drug-related crime. The bureau thus provides income to the state through forfeited assets and, further, sends the strong message to criminals that the fruits of their crimes will be used for future law enforcement efforts to combat drug trafficking. In recent years approximately \$1.1 million has been collected annually in drug asset forfeitures.

The Nuisance Abatement Unit is a new unit which currently has two prosecutors assigned to it. Since July, these prosecutors have developed three programs related to nuisance abatement and quality of life issues and have produced training materials and literature used in educating law enforcement agencies and community watch groups. The first nuisance abatement program is centered on the effective use of Public Act 98-220. The second program, Multi-Agency Response to Community HotSpots (M.A.R.C.H.), addresses problem properties through targeted administrative inspections. The third program, Landlord Intervention Program (LIP), affords the cooperating landlord an opportunity to correct problems at their properties with the assistance of the local police and the Chief State's Attorney's Office.

The Statewide Prosecution Bureau consists of assistant state's attorneys and inspectors who investigate and prosecute criminal violations relating to public corruption, economic fraud, environmental laws, election laws and other designated matters. In addition, this bureau provides assistance to local state's attorneys' offices as needed, to ensure adequate coverage of the courts and serves to assist in the prosecution of pre-arrest matters. Units within the bureau, such as the Statewide Prosecution Unit for the Environment, focus on particular offenses and legislative mandates.

The Gang and Continuing Criminal Activities Bureau is charged with the vertical prosecution of gang-related crimes across the state, as well as other organized criminal activity, through use of the state's CORA (Corrupt Organization and Racketeering Act) laws. The bureau staff works closely with other law enforcement agencies.

The Health and Social Service Fraud Bureau has the broad responsibility of investigating and prosecuting offenses related to social services recipient and provider fraud, private health care fraud, workers' compensation fraud and Medicaid fraud. Through designated units, these areas are investigated and prosecuted by experienced staff, who work closely with other state agencies, such as the Department of Social Services.

The Elder Abuse Unit was established in the Office of the Chief State's Attorney in 2000. The creation of this unit recognizes the increasing incidence of crimes against the elderly, ranging from telemarketing scams to outright physical abuse. Prosecutors and investigators assigned to this unit work with other local, state and federal agencies to ferret out such abuses of the aged and vertically prosecute them.

The Witness Protection Unit was formally created in 1999 as a result of Public Act 99-40 and implements the Leroy Brown, Jr. and Karen Clarke Witness Protection Program. The unit administers a statewide program, in cooperation with the State's Attorneys and local, state and federal law enforcement agencies, to identify and protect witnesses in criminal proceedings where there is evidence of substantial danger that the witness may suffer from intimidation or retaliatory violence. Through a variety of means, tailored to the unique circumstances presented by each witness, the Witness Protection Unit coordinates protection to such witnesses so that both their safety and the administration of justice are preserved. Services rendered include temporary relocation, semi-permanent relocation in or outside Connecticut and police protection. Since its inception, the unit has handled 91 witness protection matters and has assisted 238 persons with some form of protection.

The Statutory Rape Unit, which is one of the newer units in the Health and Social Service Fraud Bureau, targets older men who sexually assault underage girls. The statewide unit is the first of its kind in the United States and, working in conjunction with the Governor's Office, the Department of Social Services and other agencies, seeks not only to prosecute offenders, but also to deter such activity, prevent teenage pregnancy and encourage reporting of such sexual assaults by girls. The unit is making strides in these efforts, and efforts to expand the initiative to other prosecutors' offices is underway. Efforts also are underway to produce a video on the realities of teen pregnancy for use in community outreach activities.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
ADULT PROSECUTION:				
Active pending cases-JD (July 1)	3,155	2,805	2,500	2,500
Active pending cases-GA (July 1)	72,498	62,944	63,000	63,000
Cases added-JD	2,864	2,900	2,900	2,900
Cases added-GA	350,467	344,000	340,000	340,000
Pending Cases per FT JD prosecutor	44	40	40	40
Pending Cases per FT GA prosecutor	620	538	538	538
Trials-JD	215	175	180	180
Dispositions-JD	3,214	3,200	3,200	3,200
Dispositions-GA	357,802	350,000	350,000	350,000
JUVENILE PROSECUTION:				
Delinquency Case In-Take	15,911	16,000	16,500	16,500
Delinquency Case Disposals	15,710	16,000	16,500	16,500
Family With Service Needs In-Take	4,419	4,500	4,700	4,700
Family With Service Needs Disposals	4,194	4,300	4,400	4,400
STATEWIDE ACTIVITY:				
Investigations Opened	728	730	730	730
Investigations Closed	722	700	700	700
Fines (\$)	42,265	50,000	50,000	50,000
Restitution (\$)	4,409,947	3,000,000	3,000,000	3,000,000
DRUG ASSET FORFEITURE:				
Active Cases	941	850	850	850
Cases Closed	840	780	780	780
Appellate and Collateral Litigation	746,480	1,500,000	1,250,000	1,250,000

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions								
General Fund	409	23	15	447	447	447	447	447
Federal Contributions	15	1	0	16	6	6	4	6
Private Contributions	9	0	0	9	9	9	9	9

Budget-in-Detail

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	26,635,420	28,381,426	31,570,865	31,054,756	30,962,669	32,950,556	32,601,371	32,395,440
Other Expenses	1,493,855	1,391,016	1,425,878	1,389,697	1,359,115	1,459,950	1,460,254	1,395,173
Capital Outlay								
Equipment	217,607	22,996	780,600	592,024	452,190	495,000	345,724	240,517
Other Current Expenses								
Forensic Sex Evidence Exams	207,904	353,932	374,500	329,640	329,640	351,500	338,330	338,330
Witness Protection	414,199	350,000	650,000	558,050	550,000	650,000	571,443	550,000
Expert Witnesses	185,726	183,306	225,000	204,216	200,000	230,400	209,117	200,000
Medicaid Fraud Control	381,817	484,125	658,137	658,137	658,137	629,816	629,816	629,816
TOTAL-General Fund	29,536,528	31,166,801	35,684,980	34,786,520	34,511,751	36,767,222	36,156,055	35,749,276
Additional Funds Available								
Private Contributions	1,042,835	1,014,816	873,575	873,575	873,575	837,825	837,825	837,825
Federal Contributions								
16523 Juvenile Accountability Grants	198,000	75,000	0	0	0	0	0	0
16579 Drug Ctl & Sys Imprv Formula Grt	690,157	640,734	411,975	411,975	411,975	297,225	297,225	297,225
16590 Gts to Encourage Arrest Policies	141,197	180,000	0	0	0	0	0	0
99125 Other Federal Assistance	12,972	0	0	0	0	0	0	0
TOTAL-All Funds	31,621,689	33,077,351	36,970,530	36,072,070	35,797,301	37,902,272	37,291,105	36,884,326

Investigation and Prosecution

PROGRAM: APPELLATE AND COLLATERAL LITIGATION

Statutory Reference:

C.G.S. Sections 51-276, 51-277, 51-279 and 51-279b

Statement of Need and Program Objectives:

To participate on behalf of the state in all appellate, post-trial and post-conviction proceedings arising out of the initiation of any criminal action, whether or not the proceedings are denominated civil or criminal for other purposes.

To provide research in matters of criminal law and legislation to further specific prosecutorial action and agency policy.

Program Description:

Criminal prosecution and investigation generate numerous pre- or post-arrest activities that involve extensive legal research and specialized skills. The Appellate Bureau's activities include:

Handling direct appeals in criminal cases, whether in the state or federal appellate court system; Representing the state in state and federal habeas corpus matters referred to it by the field offices; Providing legal assistance to division personnel sued under the Civil Rights Act or other authority as a result of his/her prosecution or investigation of a criminal case; Conducting legal research to assist division personnel as well as responding to state and municipal law enforcement agencies' information requests; Coordinating capital research and litigation on a statewide basis; Providing representation of agency interests in collateral litigation, such as habeas corpus and

subpoenas of agency personnel; and Implementing the agency's responsibility in the collection of bonds forfeited in criminal cases

The bureau also assists in the preparation, editing and publication of various legal summaries, manuals and handbooks that are disseminated to division personnel and other parties and used in training.

The bureau has seen a consistently high death penalty caseload. As of October 1, 2000, there were fourteen capital cases pending trial, five pending in the Connecticut Supreme Court and two petitions for certiorari pending in the Supreme Court of the United States. As of October 1998, some 33 capital cases were pending in the state's courts. Of this number, some 25 cases were pending in the Superior Court and 8 were on appeal. Because capital cases can take many years to litigate, the percentage of all capital cases on appeal will likely increase as appellate review, in both state and federal courts, occurs. For example, the Connecticut Supreme Court recently affirmed a death sentence in State v. Webb.

The Civil Litigation Bureau, recently established, has as its mission the representation of the division's interests in civil matters not otherwise handled by the agency's prosecutors or the Attorney General's office. The bureau represents the state in the collection of bonds forfeited in criminal cases, the notification of delinquent jurors, subpoenas of division investigative records, injunctive actions and the increasing tide of state and federal habeas corpus actions.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
State Supreme & Appellate Court Appeals Pending	724	800	800	800
Habeas Corpus, State and Federal Court Pending	194	200	200	200
U.S. Supreme Court Appeals Pending	13	13	13	13
Special Civil Litigation Cases Pending	19	15	15	15
Bond Forfeiture Collections	3,488,675	3,500,000	3,500,000	3,500,000
Witness Protection Cases Assisted	71	80	80	80

Personnel Summary

Permanent Fulltime Positions General Fund	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
	37	0	0	37	37	37	37	37

Financial Summary

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,357,370	2,504,651	2,663,438	2,619,897	2,612,128	2,805,386	2,775,657	2,758,124
Other Expenses	251,580	270,913	277,145	270,112	264,168	283,798	283,857	271,206
Capital Outlay								
Equipment	1,525	161	0	0	0	0	0	0
TOTAL-General Fund	2,610,475	2,775,725	2,940,583	2,890,009	2,876,296	3,089,184	3,059,514	3,029,330

Appellate and Collateral Litigation

PROGRAM: MANAGEMENT AND SUPPORT SERVICES

Statutory Reference:

C.G.S. Sections 51-276 and 54-142h

Statement of Need and Program Objectives:

To direct and coordinate the policy, planning and administration of the Division of Criminal Justice.

To ensure that the personnel, payroll, budgeting, accounting, information technology, training and service requirements of the central office and 50 geographically disparate field offices are met in a timely and efficient manner.

Program Description:

Management and Support Services coordinates a variety of activities and services that respond to the programmatic and logistical demands of the division. The responsibilities include:

Establishing and enforcing policy for the division, develops and supports legislation related to the criminal justice process, coordinates training and develops manuals related to new issues in prosecution and the law, implements collective bargaining agreements, and coordinates all grant applications and awards.

Planning, implementation and service delivery for budget, payroll, purchasing, accounting, auditing, data systems, inventory control, communications, and personnel functions, including labor relations, are handled in the central office. Financial and personnel records are maintained for each office location and in aggregate.

Providing information technology policies and strategies in conjunction with the Department of Information Technology, such as: planning for

major infrastructure improvements to allow greater connectivity between all prosecutor offices and the Office of the Chief State's Attorney, establish electronic means for document management and legal research and implement CJIS (Criminal Justice Information System) initiatives as they occur. The increasing use of information technology has enabled the agency to come closer to "paperless" processing of many accounting, human resources, purchasing and payroll functions.

In-service training on issues of criminal law, ethics, and forensic science, as well as diversity training, workplace violence training (planned for 2000) and management training. The division has prepared a criminal records manual for police departments and has conducted training sessions for police records officers. For example, the Division published a "Search & Seizure" legal guide for police and prosecutors throughout the state.

Providing the Employee Assistance Program (EAP) in conjunction with the University of Connecticut. Other activities performed by Management Services include: Processing complaints concerning division personnel, ethical standards; Coordinating prisoner transportation for extradition; Planning facilities for field offices; Managing the agency's fleet of vehicles; Coordinating firearms training and law enforcement related purchases; and Organizing and conducting training sessions for prosecutors and support staff. The division is required by statute to conduct random audits of agencies retaining criminal records to insure that these agencies comply with state law.

Program Measure

	1999-2000	2000-2001	2001-2002	2002-2003
	Actual	Estimated	Projected	Projected
Purchase orders/Invoices processed	126/3,988	125/4,000	125/4,000	125/4,000
Service transfers	218	225	230	230
Payroll changes	5,536	5,560	5,560	5,560
Diversity Training Sessions/Employees	4/30	4/30	4/30	4/30
Professional Development Training Sessions/Employees(Unduplicated)	81/99	100/125	100/125	100/125

Personnel Summary

	As of 06/30/2000		2000-2001	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Fulltime Positions</i>								
General Fund	38	4	0	42	42	42	42	42
Federal Contributions	6	0	0	6	4	4	4	4
Private Contributions	5	0	-1	4	4	4	4	4

Financial Summary

	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	2,240,592	2,423,052	2,921,811	2,874,046	2,865,524	2,947,498	2,916,263	2,897,842
Other Expenses	950,558	1,241,394	1,251,452	1,219,696	1,192,856	1,117,929	1,118,161	1,068,328
<u>Capital Outlay</u>								
Equipment	211,703	22,372	294,000	222,976	170,310	302,500	211,276	146,983
<u>Other Current Expenses</u>								
Training and Education	65,946	65,902	102,000	89,966	85,155	104,448	92,125	85,155
TOTAL-General Fund	3,468,799	3,752,720	4,569,263	4,406,684	4,313,845	4,472,375	4,337,825	4,198,308
<u>Additional Funds Available</u>								
Private Contributions	436,987	450,097	463,600	463,600	463,600	477,508	477,508	477,508
Federal Contributions								
16586 Violent Offender/Truth in Senten	433,250	437,250	315,750	315,750	315,750	323,250	323,250	323,250
16592 Pre-trial Court Svcs Train & Ed	12,000	0	0	0	0	0	0	0
TOTAL-All Funds	4,351,036	4,640,067	5,348,613	5,186,034	5,093,195	5,273,133	5,138,583	4,999,066

Management and Support Services

AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003		
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>		
<i>Personal Services</i>								
Permanent Fulltime Positions	29,950,805	31,814,639	34,999,758	34,852,495	36,652,651	36,387,357		
Other Positions	145,001	150,000	76,738	76,738	79,040	79,040		
Other	1,137,413	1,342,490	2,077,618	1,509,088	1,969,749	1,583,009		
Overtime	163	2,000	2,000	2,000	2,000	2,000		
TOTAL-Personal Services Gross	31,233,382	33,309,129	37,156,114	36,440,321	38,703,440	38,051,406		
Less Reimbursements								
Less Turnover	0	0	-371,561	-371,561	-387,034	-387,034		
Less General Personal Services Reductions	0	0	0	-339,241	0	-544,371		
TOTAL-Personal Services Net	31,233,382	33,309,129	36,784,553	35,729,519	38,316,406	37,120,001		
<i>Other Expenses-Contractual Services</i>								
Advertising	48,939	45,000	46,035	45,000	47,140	45,000		
Printing And Binding	77,704	77,000	78,771	77,000	80,662	77,000		
Dues And Subscriptions	125,746	131,900	134,933	131,900	138,172	131,900		
Utility Services	142,983	136,400	143,399	143,793	142,447	143,793		
Rents, Storage & Leasing	221,419	242,862	250,109	244,524	256,111	244,524		
Telecommunication Services	167,312	172,438	178,820	174,854	183,111	174,854		
General Repairs	43,209	36,000	36,828	36,000	37,711	36,000		
Motor Vehicle Expenses	108,524	105,000	107,416	105,000	109,995	105,000		
Insurance	14,909	15,000	15,345	15,000	15,713	15,000		
Fees For Outside Professional Services	337,248	426,234	411,931	327,127	262,422	245,695		
Fees For Non-Professional Services	210,651	195,000	199,485	195,000	204,273	195,000		
DP Services, Rentals and Maintenance	473,559	614,650	628,788	614,650	643,880	614,650		
Postage	38,614	30,000	30,690	30,000	31,427	30,000		
Travel	90,693	97,989	100,243	97,989	102,649	97,989		
Other Contractual Services	144,905	148,504	151,920	148,504	155,567	148,504		
<i>Other Expenses-Commodities</i>								
Books	6,332	7,500	7,673	7,500	7,857	7,500		
Maintenance and Motor Vehicle Supplies	84,696	75,000	76,725	75,000	78,566	75,000		
Fuel	449	1,312	1,772	1,764	1,780	1,764		
Office Supplies	267,630	262,330	268,364	262,330	274,806	262,330		
Miscellaneous Commodities	90,370	88,004	90,028	88,004	92,188	88,004		
<i>Other Expenses-Sundry</i>								
Sundry - Other Items	101	0	0	0	0	0		
TOTAL-Other Expenses Gross	2,695,993	2,908,123	2,959,275	2,820,939	2,866,477	2,739,507		
Less Reimbursements	0	-4,800	-4,800	-4,800	-4,800	-4,800		
TOTAL-Other Expenses Net	2,695,993	2,903,323	2,954,475	2,816,139	2,861,677	2,734,707		
<i>Other Current Expenses</i>								
Forensic Sex Evidence Exams	207,904	353,932	374,500	329,640	351,500	338,330		
Witness Protection	414,199	350,000	650,000	550,000	650,000	550,000		
Training and Education	65,946	65,902	102,000	85,155	104,448	85,155		
Expert Witnesses	185,726	183,306	225,000	200,000	230,400	200,000		
Medicaid Fraud Control	381,817	484,125	658,137	658,137	629,816	629,816		
TOTAL-Other Current Expenses	1,255,592	1,437,265	2,009,637	1,822,932	1,966,164	1,803,301		
<i>Character & Major Object Summary</i>								
	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	31,233,382	33,309,129	36,784,553	36,177,138	35,729,519	38,316,406	37,906,257	37,120,001
Other Expenses Net	2,695,993	2,903,323	2,954,475	2,879,505	2,816,139	2,861,677	2,862,272	2,734,707
Capital Outlay	430,835	45,529	1,074,600	815,000	622,500	797,500	557,000	387,500
Other Current Expenses	1,255,592	1,437,265	2,009,637	1,840,009	1,822,932	1,966,164	1,840,831	1,803,301
TOTAL-General Fund Net	35,615,802	37,695,246	42,823,265	41,711,652	40,991,090	43,941,747	43,166,360	42,045,509
<i>Additional Funds Available</i>								
Federal Contributions	1,487,576	1,332,984	727,725	727,725	727,725	620,475	620,475	620,475
Private Contributions	1,479,822	1,464,913	1,337,175	1,337,175	1,337,175	1,315,333	1,315,333	1,315,333
TOTAL-All Funds Net	38,583,200	40,493,143	44,888,165	43,776,552	43,055,990	45,877,555	45,102,168	43,981,317

CRIMINAL JUSTICE COMMISSION

[HTTP://WWW.STATE.CT.US/CSAO/](http://www.state.ct.us/csao/)

AGENCY DESCRIPTION:

The Criminal Justice Commission is composed of the Chief State's Attorney and six members nominated by the Governor and appointed by the General Assembly. The commission is charged with making

certain prosecutorial appointments as required by statute or at the request of the Chief State's Attorney.

RECOMMENDED SIGNIFICANT CHANGES

Reductions to Current Services

- Reduce Inflation and Other Miscellaneous Reductions

2001-2002	2002-2003
-27	-56

AGENCY PROGRAMS:

Agency Programs by Total Funds (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Enhance Oper-Div of Criminal Justice	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
TOTAL Agency Programs - All Funds Gross	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
Less Turnover								
Less General Personal Services Reduction								
TOTAL Agency Programs - All Funds Net	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
<u>Summary of Funding</u>								
General Fund Net	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
TOTAL Agency Programs - All Funds Net	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195

PROGRAM: ENHANCE THE OPERATION OF THE DIVISION OF CRIMINAL JUSTICE

Statutory Reference:

Section 51-275a

Statement of Need and Program Objectives:

To appoint well qualified individuals to certain prosecutorial positions as required by statute or at the request of the Chief State's Attorney.

Program Description:

The Criminal Justice Commission appoints the Chief State's Attorney, two deputy chief state's attorneys, and a state's attorney for each judicial district, and may fill any prosecutor vacancy at the request of the Chief State's Attorney or State's Attorneys.

Financial Summary (Net of Reimbursements)	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Other Expenses	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
TOTAL-General Fund	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
Enhance Oper-Div of Criminal Justice								

AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	1999-2000	2000-2001	2001-2002	2001-2002	2002-2003	2002-2003		
	Actual	Estimated	Requested	Recommended	Requested	Recommended		
<u>Other Expenses-Contractual Services</u>								
Other Contractual Services	250	1,195	1,200	1,195	1,229	1,195		
TOTAL-Other Expenses Gross	250	1,195	1,200	1,195	1,229	1,195		
Less Reimbursements								
TOTAL-Other Expenses Net	250	1,195	1,200	1,195	1,229	1,195		
Character & Major Object Summary	1999-2000	2000-2001	2001-2002	Current	2001-2002	2002-2003	Current	2002-2003
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Other Expenses Net	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195
TOTAL-General Fund Net	250	1,195	1,200	1,222	1,195	1,229	1,251	1,195